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ABSTRACT

Some selected performance aspects indicated to be predictive of counsel/social worker effectiveness are examined. The interpersonal variables examined were selected according to the conceptual and research model for assessment of the helping relationship advanced by Carkhuff. From this model of assessment the following hypothesis was developed; ability to discriminate and communicate the specified interpersonal variables would be significantly different for social workers across differing training, background, and levels of related social work experiences. Results show that social workers with graduate training in social work performed significantly higher on the criterion measure of communication than did the four other groups, including bachelors degrees and first year social service trainees. No differences were observed across the group on the discrimination measure, nor did differences exist among the groups when compared across levels of experience for either of the two criterion measures. Finally, sex did not appear to be related to performance on the selected measures. (Author)

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THE UNIVERSITY OF ALBERTA

AN EXAMINATION OF SOCIAL WORKER-CLIENT RELATIONSHIP EFFECTIVENESS

by

(C) Marvin J. Westwood

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A THESIS

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The undersigned certify that they have read, and recommend to the Faculty of Graduate Studies and Research for acceptance, a thesis entitled An Examination of Social Worker-Client Relationship Effectiveness, submitted by Marvin James Westwood in partial fulfillment of the requirements for the degree of Doctor of Philosophy.

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Date February 23, 1972

ABSTRACT

The dissertation sought to examine some selected performance aspects indicated to be predictive of counselor/social-worker effectiveness. The interpersonal variables selected for examination were according to the conceptual and research model for assessment of the helping relationship advanced by Carkhuff. From this model of assessment was developed the hypotheses that ability to discriminate and communicate the specified interpersonal variables would be significantly different for social workers across differing training, backgrounds, and levels of related social work experience.

In order to test the major hypothesis that social workers of differing training backgrounds would perform differentially on the Carkhuff Discrimination and Communication Indices of Helper Responses to Helpee Stimulus Expressions, individuals were assigned to five groups according to level of training. Also within the five levels each of the participants were assigned to three levels of related case work experience, which allowed for comparisons in performance across the experience variable.

It was found that social workers with graduate training in social work performed significantly higher, on the criterion measure of communication than did the other four groups (Bachelors degree, social service diploma, non university/college trained and first year Social Service trainees). No differences were observed across the five training groups on the Discrimination measure. Excluding the graduate group there were no significant differences among the remaining groups. No differences existed among the groups when compared across levels of experience for either of the two criterion measures.

Additionally it was found that individuals who tended to score high on the Discrimination variable also tended to score high on the Communication variable. Finally sex did not appear to be related to performance on the selected measures.

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CHAPTER I

INTRODUCTION AND PROBLEM

Complete consensus does not exist among theorists and educators about what are the identifiable characteristics of effective therapeutic practitioners -- whether the focus is counselor, social worker or other related member of the allied helping professions. Also equivocal is information on differential efficacy for types and terms of training. Other variables appear inextricably related to levels of practitioner functioning. As a result, agencies and institutions are interested in examining the relation between preparation and practitioner effectiveness.

Recently, in Alberta, considerable attention has been given to the (Blair Commission on Mental Health, 1968; and the Alberta Colleges Commission Study, 1970), relation between educational preparation and performance in social work. The Blair Commission found a dearth of qualified personnel and recommend the extension and development of vocational problems for social work aides, as a means of coping with the shortage.

The Blair Commission's position, regarding the above, might best be explained by a summary statement within the report:

> Because of the shortage of qualified social workers, the development of personnel without formal qualification of social worker is to be encouraged ... by developing and extending the previously mentioned vocational programs for social work aides (p. 94).

Further, the report continues:

> Universities, particularly through schools of social work, should offer the appropriate training programs to prepare personnel (non-formally qualified). Such

> training programs should be encouraged and supported by all possible means (p. 94).

Reflecting a similar position to the Blair Commission, but on a national basis, a research team investigating social work resources headed by K. Minde, addressed itself to the overall Canadian situation concluding that: "The needs of mental health are too great for professionals to meet, therefore others must be brought in of lesser training to meet such needs (Minde et al, 1971, p. 8)."

The official view of the Canadian Association of Social Workers was presented by H. Stubbins to the Conference on Manpower Needs in the field of Social Welfare, Ottawa, November 26, 1966. This statement paralleled the findings of the Alberta Commission on Mental Health by underscoring that in Canada. "There exists an extremely limited supply of professionally trained social workers (1966, p. 64)."

Within the context of the present study, the operational definitions of professionally trained and non-professionally trained personnel refer to the classification adopted by both the Alberta Association of Social Workers (A.A.S.W.) and the Canadian Association of Social Workers (C.A.S.W.).

It becomes evident that non-professionally trained personnel includes individuals with less than graduate training in recognized graduate school of Social Work and typically denotes graduates with a university baccalaureate degree and vocational or community college training.

Referring to the above indicated distinctions regarding professionally and non-professionally trained social workers, there existed

within the province of Alberta practicing personnel whose training backgrounds were varied. They included persons with: (a) Masters of Social Work degrees; (b) Baccalaureate university degrees; (c) Community or vocational college two-year diplomas; and (d) non-college/university training qualifications. Hence, considerable variability in terms of educational background of the social worker was evident, which resulted in the active deployment of professional and non-professional trained personnel to provide the various social work and social welfare services within the province.

THE PROBLEM

Considering the question of social work practice in light of the extremely limited supply of professional manpower on the one hand and the supply of educated personnel at the baccalaureate and diploma level on the other, a major objective of the present study was to provide empirical evidence directly related to the above question and more specifically in response to some of the major questions of vocational program effectiveness posed by the Alberta Colleges Commission.

Vocational program effectiveness was a question central to the Alberta Colleges Commision which sought valid information regarding questions of adequacy of preparation vis-a-vis worker effectiveness in a social work practice setting.

Through examining selected aspects of the vocationally trained graduate compared with graduates of differing training backgrounds, it was the intent of this study to provide some of the information necessary to answer the above indicated questions.

Not only was training level investigated as a crucial variable related to social work effectiveness, but recent research (Minde, 1971; Halmos, 1968 and McLean, 1970) has indicated that the role of the experience variable appears related to subsequent case work practice.

The present study sought to examine both the relationship between level of training and selected performance aspects predictive of social worker-client effectiveness and the relationship between experience and performance.

For the purpose of clarification and subsequent assessment in respect to the focus of the present study, the role function of the social worker was examined on the basis of the behavioral activities with which the field workers were involved.

Review of recent literature and inspection of current social work educational programs at various levels as well as examination of the goals and practices of various divisions and agencies in provincial social services supported the dichotomy of functions suggested by Leighton (1967):

(a) coordinator-administrator activities -- specified skills include: programming, supervision, community development, financial assistance, placement, court and legal procedures, clerical and record keeping, etc.

(b) relationship-case work activities -- specified skills include case work interviewing, direction giving, personal rehabilitation, counseling, various therapy modalities and other social-personal adjustment activities specific to the helping relationship.

The present study focused on the latter category, i.e. relationship-case work activities, which actively involve the social worker's personality characteristics, cognitive and affective behavioural

components peculiar to the helping relationship and a general ability to relate effectively to others in the social worker-client relationship.

While two major categories exist identified on the basis of specific behavioral skills required to perform the same, it is recognized by the author that they are not mutually exclusive. Certain sills of one area may have applicability in the other depending upon contextual variables but the two way classification is useful in instruction and of assessment behavioral skills.

Given that the case worker-client relationship emphasizes interpersonal variables not unlike those essential for relationship effectiveness in the counselor-client context (Biestek, 1967; Plowman, 1967; Spilken et al, 1969; Rogers, 1957; and Irving, 1971), it follows that the case worker-client relationship maybe investigated according to the conceptual and research model for assessment of the therapeutic or helping relationship advanced by Truax (1964); Carkhuff and Berenson (1967) and Carkhuff (1969).

Acknowledging the apparent behavioral similarities of helping effectiveness the counseling and case work relationships, Rita Lindefield, concluded that: "today many related disciplines see themselves assuming more and more responsibility in an undifferentiated field called counseling (1967, p. 175)."

The model referred to above explains and predicts that a significant proportion of the total variance of helper effectiveness can be accounted for in terms of functioning level of the helper on

selected facilitative and action oriented behavioral dimensions. In addition the relationship effectiveness that accrues is to a significant extent a function of specific therapist/counselor behaviors, demonstrated to be facilitative of both helper-helpee interaction and subsequent constructive client behavior.

In addition to validity and efficiacy in the Carkhuff et al model it is suited to instrumentation and assessment procedures which meet the validity and reliability requirements set by A. Rosenblatt, research director, Family Services Association of America, New York. Rosenblatt (1968), in a study into the extent to which practitioners employ significant research findings in their practice, as well as calling for more research in the social services, explains that: "one of the foundations of casework practice is the strength of the relationship between the worker and the client, yet researchers have undertaken few investigations of the casework relationship because there is so little agreement about valid measures of it (p. 57)."

Thus investigation into the caseworker-client relationship -- with the focus being specific helper variables -- should consider recent work conducted by Truax (1969) along with Berenson (1966), Kratchovil (1968) and Carkhuff (1969) who have developed a system or theoretical framework to explain the predict effective interpersonal (helping) relationships typical of counselors, psychotherapists, clinicians, etc., and ultimatley social workers.

Research evidence into the 'helping relationship' indicates that any interviewer-client relationship is more constructive, in positive client change or gain, when the interviewer is functioning at high

levels of interpersonal facilitation, than when the interviewer is functioning at low levels of facilitation (Bergin & Solomon, 1963); Truax & Carkhuff, 1967; and Carkhuff, Kratochvil & Friel, 1968). Levels of facilitation, descriptive of the interviewer, refer to the extent to which the interviewer is able to communicate facilitative dimensions within the relationship. Facilitative dimensions refer, to the 'core conditions' first identified by Carl Rogers (1957) and expanded more recently by Truax (1964 and 1967) and Carkhuff and Berenson (1967). The 'core conditions' include; level of empathy, respect, genuineness, concreteness, confrontation and immediacy as all found to be constructive processes in terms of benefits of positive behavior change for the client (Berenson & Mitchel, 1969; Rogers et al, 1967, and Truax & Carkhuff, 1967).

Definitional statements and operationalizations of the above-mentioned variables are presented in detail in the following chapter.

Carkhuff (1969) and Truax & Carkhuff (1967) have demonstrated that client outcome is a function of therapist characteristics as well as treatment orientation, e.g. client-centered, psychoanalytic, behaviorist, etc.. Therapist -- characteristics related to level of functioning -- may have constructive or destructive effects on the client (Truax, 1964 and Bertin, 1967), or produce no change (Eysenck, 1965, Levett, 1963 and Lewis, 1965). That is, high levels of functioning on the facilitative dimensions have been demonstrated to lead to constructive client change whereas low levels of functioning have been shown to produce deterioration in client functioning (Truax, 1964; Carkhuff, 1969 and Bergin, 1964).

The adoption of the above model over other possible methods of assessment was not made without due consideration to the presently existing alternatives. Other means of assessment considered were (a) self-report questionnaires, (b) peer or supervisor ratings, (c) client perception ratings, and (d) in vivo observations and behavioral descriptions. All of the above were deemed less desirable than the method finally selected due to the subjective factors introduced, e.g. halo effect in (a), (b), and (c), and Hawthorn effect in (d). Whereas the last mentioned alternative (d) is, in some ways, preferable to the present adopted procedure, the cumbersome nature of the task excludes it as practical alternative for a field study of this type. Although direct observation of the type indicated above would be possible in subsequent research to the present study. The Carkhuff method of interpersonal assessment offers a major research advantage that the other approaches fail to provide, namely that estimates of levels of professional functioning are based on indices from rating subjects' performance under simulated counselor conditions, this is done by having the subjects respond to actual or potential client statements. Such a procedure appears to have greater predictive validity than the previously mentioned alternatives.

Accepting the Carkhuff model for evaluation of the 'helping relationship' and given that the objectives in terms of relationship activities of the social worker appear to be not different from those of the counseling relationship, it would seem that applying such a model to the social worker-client relationship would provide a valid and useful index of social worker effectiveness in terms of the variables

stressed above.

Much of the emphasis in social work theory and practice is placed upon 'attempting to change the client's behavior with the purpose of helping the client achieve rehabilitation or increased emotional or envirnomental adjustment (Biestek, 1957, p. 1), (Leighton, 1967) (Plowman, 1967). Given these objectives as a major goal of social work practice and relating these objectives to the held function of the counseling relationship, Plowman (1967) concluded: 'I see no reason to doubt that the position (research into the counselor-client relationship) is likely to be similar and the implications seem important (p. 18)'.

The above processes underscored as goals of the role of social worker in the previously specified area can be shown to be essentially the same as those outlined by the objectives of the counselor or psychotherapist in one or both of two ways:

(a) by showing that the social worker attempts to meet the emotional needs of the client, via the caseworker-client relationship.

(b) by showing that the social worker attempts to modify the behavior of the client, in order that the client may be able to cope more effectively within his present environment.

Since the social work role involves achieving both these objectives, and given the validity of the aforementioned studies in counselor-client relationship effectiveness, we can assume, then, that social workers who function at high levels of facilitation (discrimination and communication) will better meet the goals outlined in the role objectives specified by social work education programs (Plowman, 1967; Leighton, 1967 and McLellan, 1969) than social workers who are functioning at low levels of facilitative dimensions.

Purpose of Study:

Therefore, if the helping professions are interested in the quality of the social worker-client relationship and in examining the facilitiative behavioral characteristics of the social worker, it would be advantageous to evaluate at what level social workers (trainees and graduates) are functioning, as specified by Carkhuff's levels of facilitation (discrimination and communication) within the caseworker-client helping relationship.

Categorically the purpose of the present study was to assess level of facilitative behavior among five identified sample groups of social workers, selected on the basis of differential training backgrounds. More specifically assessment of facilitative behavior in the helping relationship involved measured level of performance on the communication and discrimination indexes of helper responses to client stimulus expressions.

A more general, but not less important purpose of the study, was to contribute information to the apparent dearth of research information avaliable into the caseworker relationship as outlined by Rosenblatt (1968) in an investigation of the necessary relationship between practice and its reliance on research for a profession to make a contribution to the welfare of its clients. According to Rosenblatt an absence of relationship between practice and research exists in social work "because of the relatively crude state of the sciences on which social work depends ... The best hope for change in this state of affairs is to rely on the benefits to be derived from research studies bearing on practice (1968, p. 59)".

CHAPTER II

INTRODUCTION

Considerable attention has been given to therapeutic interviewer-interviewee relationships across helping professions, (psychotherapy, counseling, psychiatry, social casework) in an attempt to identify and assess the crucial behavioral variables which account for the relationship effectiveness that ultimately leads to therapeutic or constructive client change (Paul, 1967; Spilken et al, 1969; Halmos, 1966; Whitehorn & Betz, 1960; Carkhuff, 1969; Truax & Carkhuff, 1967 and Carkhuff & Berenson, 1967).

THE FACILITATIVE RELATIONSHIP: ACROSS HELPING PROFESSIONS

A principal component of the rehabilitation process is the facilitative counseling relationship, which according to Truax, "is a common tool of clinical psychology, counseling psychology, psychiatry, school counseling and social work (1967, p. 1778)." The facilitative relationship has been demonstrated to be a necessary condition for therapeutic or constructive change in the client, whether in the context of psychiatric, social work, or clinical/school counseling (Truax and Carkhuff, 1967).

The interpersonal and intrapersonal skills specific to the facilitative relationship have been extensively explored at the research level potentially within the context of the counseling/psychotherapy relationship primarily by researchers such as Berenson, Truax,

and Carkhuff. Although investigation related to the counselor and psychotherapist appears extensive, examination of the process and outcome of the social worker-client relationship effectiveness is evidently limited.

The Social Worker-Client Relationship: A Need for Investigation

Shifting the focus of the helping relationship from the counseling and psychotherapy context to that of the social worker, criticisms not unlike those earlier directed at psychotherapy and counseling by Eysenck (1955) and others, have been made to the modes and outcomes of investigation into social work but to probably a greater extent. Within the field of social work and social welfare a dearth of investigation and research exists. Greater numbers of social work educators and researchers alike call attention to this professional deficiency (Leonard, 1967; Rosenblatt, 1968; Plowman, 1967; Halmos, 1966; and Irving, 1971).

As indicated in the foregoing chapter, the Rosenblatt (1968) study on practitioner evaluation and use of research indicated an expressed need not only for more appropriate research studies required at the applied practice level but also "the evidence suggests research that currently comes to the attention of caseworkers has little, if any, direct and immediate application to casework practice (Rosenblatt, 1968)."

Also addressing the question of research at a more general level, Plowman (1967) laid stress upon the need for a model of research into process and outcome of casework, and directed criticisms towards social workers not unlike those aimed towards counseling and psychotherapy outcome research by Eysenck (1952) and more recently Gordon L.

Paul (1967).

Paul (1967), in a comprehensive examination of the current status of psychotherapeutic research, employed specific accepted research designs as the evaluation criteria to summarize the significant criticisms of the existing research, the principal criticism being a need to behaviorally operationalize and experimentally control the relevant variables related to the counseling process and outcome.

The consensus then is the necessity for more rigorous investigation of the relevant variables along with improved instrumentation of assessment and follow up to determine the effects of therapeutic intervention. According to Plowman (1967) investigation of the social worker-client relationship is underscored as he indicates that "far too little careful analysis of exactly what is involved in the process of casework has been carried out (p. 14)."

Being more specific, Plowman reasoned that at present it is difficult to evaluate casework, as the profession to date has "bothered to find out too little about such topics as kinds of clients who come to agencies and are effectively helped, and other important characteristics have been relatively ignored ... one being the characteristics of the caseworker and those need to be investigated (1969, p. 13)."

Equally concerned with more emphasis being given to inquiry of behavioral variables involved in the effective caseworker-client relationship, Leonard (1967) summarized the quality of non-controlled studies in the area of social work, by stating that the main problem confronting the casework researchers is the question of "which, among the whole range of behavioral interchanges between social worker and the client in a particular situation, have greatest importance in

producing improvement for the client (p. 26)?" Information related to this question has not been made available as, in Plowman's view, there is a lack at present of sufficient empirical material peculiar to the roles and behavioral activities carried out by many social workers (1969).

Reiterating the urgency for research required to seek answers to questions not dissimilar from those presented by the Alberta Colleges Commission (1970), S. H. Green summarized the social work educators point of view, by maintaining that social work educators, as trainers, need to be concerned about the evaluation and performance in the field, -- both as learner and practitioner. Green continued: "such concurrence (between evaluation and performance) is essential to determine whether or not the student has achieved the objectives of the schools of social work and the objectives of the agency, where the social worker is engaged in providing his/her services to the client (1967, p. 3)."

Drawing close attention to the not infrequent criticism directed toward the social services, H. Irving explore some of the factors related to these attacks. Irving maintains that social work has a history of pragmatism, hence many theories have not been tested and consequently "leaves social workers vulnerable to much disdainful and not at all unfounded criticism (1971, p. 88)."

The above author cautioned: "while it is a well recognized phenomenon that absolute certainty and scientific accuracy cannot be a criterion in the field of human behavior, where art is still considered a significant part of the helping process, this is not to be used as a rationalization against research (1971, p. 88)."

Rosenblatt (1968) urged not just for research into the field of social work but research which is relevant to the role of the practitioner by introducing his findings summarized in a research report; "The Practitioners Use and Evaluation of Research History." Determination of the value of research findings for practitioners is of obvious importance. If research holds little or no value for practitioners, the activities lose much of their purpose, for social welfare research is essentially applied research; its primary purpose is to improve services (p. 53).

It appears that Briar (1968) in citing Rosenblatt summarized well the role of research to date vis-a-vis the practitioner adequately: "much of the research that currently comes to the attention of the caseworker has little, if any, direct and immediate application to casework practice (p. 9)."

Finally, Halmos summarized the degree of advancement made in the research sciences as applied to the social services in general.

Halmos (1966) in a rather extensive and comparative study in the theory and practice of social casework and psychotherapy summarized, that, collectively psychiatrists, lay and medical psychotherapists, clinical psychologists, social workers and counselors (which Halmos altogether refers to as "counsellors") "are markedly reluctant to attend to the issue of the evidence for success . . . and the picture we are forced to form for the time being at least, is that "counselling" is to be justified by the moral sustenance it gives to both counsellor and counsellee, and by the moral affirmation of concern which the widespread practice publicly and visibly makes (p. 27)."

CHARACTERISTICS OF THE PRACTITIONER: A CRUCIAL VARIABLE OF RELATIONSHIP EFFECTIVENESS

With the contributions of critics such as Eysenck (1960) and Frank (1961) to the field of counseling and psychotherapy, recent investigations and inquiry have been conducted in an attempt to determine what are the effective ingredient variables of the successful or facilitative helping relationship. Researchers like C. B. Truax and R. Carkhuff, along with R. Berenson initiated a comprehensive review and examination of the current available research evidence in an attempt to identify the variables which were related to the effective or therapeutic relationship. The search was for common elements or common behavioral denominators cutting across divergent theoretical bases. The investigators focused upon the divergent theories, whether psychoanalytic, client centered, behavioristic, or ecclectic.

Effectiveness or success within the relationship was shown to relate primarily to characteristics of the practitioner (Truax and Carknuff, 1967). That is, specific facilitative personal characteristics were identified, operationalized in behavioral terms and subsequently developed in an instrumental form for assessment purposes.

It is primarily these variables which are implicit in the following model, which will be applied to assess the same practitioner characteristics across the helping professions -- in this case the social worker. The efficacy of applying such a research model to determine level of practitioner functioning by the social workers, appears necessary, in terms of the information being sought after, vis-a-vis social worker relationship effectiveness (Critchley, 1970).

In addition employment of the model to the social work frame of reference appears supported in terms of the current theory and research surrounding the research model's development and implementation in the counseling and psychotherapy context (Truax, 1967; Truax & Carkhuff, 1967; Carkhuff & Berenson, 1967, and Critchley, 1970).

The Helper Variable Across Professions: Theoretic and Research Bases

Traditionally research examination of the helping relationship variables has been essentially of two types -- (1) process and (2) outcome. The goal of such investigation into the helping relationship appears to be like all research in psychology, according to Paul (1967) and Truax and Carkhuff (1967) the basic purpose being to discover phenomena -- behavioral events or changes (within the client) -- the variables which affect them, and the lawfullness of the effects (p. 10).

In approaching the investigation of the above mentioned 'behavioral events' accounting for behavior change within the client, the domains of focus in therapeutic relationship research irrespective of theoretical preconceptions include three general domains (a) the client, (b) the therapist and (c) the time or stage in the relationship, (Paul, 1967).

The existing literature on studies carried out vis-a-vis relationship effectiveness have focused essentially on psychotherapeutic technique or treatment orientation and client characteristics (Spilken et al, 1969).

A growing body of literature (Halmos, 1966; Paul, 1967; Truax, 1967; Spilken et al, 1969; Lorr, 1965; Whitehorn & Betz, 1960, Truax & Carkhuff, 1967 and Carkhuff, 1969, Monde, 1971) have

emphasized the efficacy of examining specific therapist behavior -- a most critical variable of the helping relationship.

Indicative of increased attention being placed on therapist behavior within the therapist-client relationship, several studies (Spilken et al, 1969, Halmos, 1966 and Truax & Carkhuff, 1969) have been conducted to examine the helper variable, and specifically across various helping professions where client personal adjustment is held as the dependent variable. In focusing on helping relationship objectives and processes, the distinctions between various professions seem less obvious and mode of investigation within the areas more similar.

Fiedler (1930a) and Strupp (1955a) do in fact emphasize the similarities between professional groupings in conceptualization of an ideal therapeutic relationship as well as an ideal response to a specific therapeutic issue.

Paul (1967) in proposing a strategy for outcome research in psychotherapy indicates that "of the three general domains (indicated above) necessary to investigation in attempting to assess helper effectiveness, the questions most often asked in the areas of research 'fail' to take into account the characteristics of the therapist which seems a crucial domain of inquiry in determining level of efficacy (p. 111)."

Halmos (1966) in referring to the 'other ingredient' in psychotherapy and social casework of the social worker (p. 59) denoted the non-treatment variables provided by the counselor (guidance counselor, therapist, social worker, etc.) within the relationship, has been previously ignored and is a necessary requisite for the establish-

ment of a facilitative counselor-client relationship.

Unlike Carkhuff and Halmos who address themselves to helpers of various professions, Plowman (1967), referring to the field of social work research, directed attention to the siginficance of the social worker variable by concluding that "with the question of research into casework effectiveness; one is unfortunately handicapped both by the poverty of evidence and by the comparatively poor quality of evidence there is (regarding specific caseworker behaviors)." Plowman continues "in proposing a methodology for evaluating casework, among the important variables ignored in research into social work, are the characteristics of the caseworker (p 13, 1967)."

Looking across helping professions, Spilken (1969) conducted a study involving three different populations of helpers (psychotherapists, social workers and psychiatrists) to investigate therapist variables perceived to be crucial to the therapeutic relationship and process. Following such an analysis, Spilken (1969) concluded that 'in the past, most studies in this area (helper behavior) have focused on a limited view of the therapist's personality or else have described characteristics in global terms, thereby failing to identify the various discrete elements inherent in the general categories (p. 317)!' Subsequently the study set out to conceptualize and assess specific elements in order that a full range of personal characteristics of the therapist, relevant to the treatment process was identified. The results of the study indicated specific similarities among therapist groups in relative preferences for these characteristics. Spilken (1969) found that, not unlike the findings of Truax & Carkhuff, empathy was the most clearly preferred of the total ranks of the

concepts for the six groups of therapists.

Following a Montreal study of a comparison of personality variables between trained and untrained social workers, Minde (1971) concluded "all of the above (Rioch et al, 1963; Poser, 1966 and Hirsch et al, 1965) agree with Whitehorn and Betz (1960) that the personality of the therapist, irrespective of his training is of crucial importance in the outcome of any psychological assistance (p. 8)."

Following closely, the emphasis placed on the outline above, Hamilton (1969) stressed that what appears to be an important variable in the relationship (caseworker-client) is the therapist behavior or personality of the caseworker. Although Hamilton and his colleagues do not seem to have identified the personality variables to the degree of instrumentalization and operationalization as have Truax (1968) and Carkhuff (1969), the author (Hamilton) nonetheless draws attention to the variables vis-a-vis relationship effectiveness and client outcome, "It has always been observed that certain kinds of personality seem to be intuitively helpful; other personalities, quite as well meaning, can prove dangerous or harmful in intimate human relationships (p. 6)." The recognition of that 'other ingredient' in the therapeutic relationship provided by the social worker is thus recognized as critical; although it is presented in a 'trait factor' concept of personality, rather than being identified and operationalized as a set of specific behavioral components provided by the interviewer in the relationship with a client.

Focusing on the field of counseling and psychotherapy, emphasis on the therapist behavior vis-a-vis relationship effectiveness is not specific to models of therapy which stress interpersonal process

variables. Considering other schools of therapy which employ highly specific methodology of treatment -- i.e. emphasis of rehabilitation is placed on treatment program per se -- the effects are not entirely due to psychotherapeutic technique. Wolpe (1958), perhaps most representative of the behavioral or conditioning therapies, maintained that "in addition to the effects of a particular therapy technique, there are non-specific effects as a function of certain therapist behaviors and will concurrently supplant the effects of the treatment (p. 18)."

Others in the field of social work, although not having conducted research into the specific behavioral characteristics of the caseworker which are more predictive of relationship and outcome effectiveness, recognize at the descriptive or theoretical level, the significance of certain behavioral components specific to the caseworker.

One of those is Picardie (1967), who has worked extensively in the area of application of learning theory and techniques to casework. In order for the therapeutic technique to be effective (extinction, reciprocal inhibition, positive reinforcement modalities etc.) it is a necessary condition that the social worker maintain a warm and empathic understanding to the client. It follows, according to Picardie, that if social workers possess these specific characteristics, "the clients will then react with feelings of confidence, trust, optimism and positive self regard. Thus, not unlike Wolfe, Picardie recognized that within an extremely defined system of therapy as the learning therapies, a necessary ingredient is the provision of certain relational behaviors by the caseworker (p. 10)."

A necessary behavioral skill which is characteristic of the

effective social worker is the ability to first understand the life space of the client, which according to Segalman (1968) accomplishes two goals: (a) communicating more accurately to the client in terms of the perceived internal frame of reference and (b) establishment of rapport with the client.

Recognizing the specific behavioral performance aspects of the social worker in terms of a predictor of success in the field, McLellan (1968), in supporting the role of the Community Colleges for preparation of social services workers, suggested that the personal characteristics of the social worker are more important than academic skills.

Summarizing the above various positions regarding the attention that has been given to the behavioral components of the caseworker/ therapist regarding relationship effectiveness and constructive outcomes for the client, it becomes evident that investigation of level of functioning of the practitioner (counselor, psychotherapist, social worker) must be examined as one of the crucial ingredient variables of the effective helping relationship, which until recently has been relatively ignored (Plowman, 1969; Spilken et al, 1969; Wolpe, 1958; and Krumboltz & Thoreson, 1969).

Finally, Carkhuff (1969) in underscoring the position represented in the above mentioned paragraph cautions that all too frequently, upon the failure of a given helping process, we look to certain helpees and other variables to discover the cause of the failure and neglect the investigation of the helper (therapist) variables (p. 34). The helper variable's significance, must according to Carkhuff (1969), be considered of course within the context of the whole process and the assumption underlying this process is that any comprehensive model of helping

process must relate helper variables to other approaches, indices of helper change and to differentiate treatment approaches.

III THE CARKHUFF-BERENSON MODEL OF FACILITATIVE BEHAVIOR AND THE ELPHING RELATIONSHIP

Assumptions Underlying the Basic Model:

The model of helping process includes relevant dimensions concerning the helping person. Success or failure of the helping process is no doubt a function of the interaction of helper, helpee, and other variables. The logical beginning point, nonetheless, is to understand the helper's contribution; since at least initially this is the variable that can most easily be controlled (Carkhuff, 1969).

The model of helping process relates helper variables to indexes of helpee change. The helper variables studied do not function independently of the helpees who are seen by the helpers. The helpers do not have functional autonomy. The helper serves for the helpee's purposes. Accordingly the helper-offered conditions relate to criteria of client change or gain.

The model of helping processes relates helper variables to differential treatment approaches. Ultimately the helper variables are related not only to helpee indices of change but also different approaches for achieving different goals on the helpee's behalf. That is, not precisely the same goals hold for all clients. The helper variables must be related to the particular client objectives being sought.

Basic Propositions and Corollaries of the Model

Proposition 1 The degree to which the helping person offers

high levels of facilitative conditions in response to the expressions of the person seeking help is related directly to the degree to which the person seeking help engages in processes leading to constructive change or gain.

Corollary 1. The degree to which the helping person offers high levels of empathic understanding of the helpee's world is related directly to the degree to which the helpee is able to understand himself and others.

Corollary 2. The degree to which the helping person communicates high levels of respect and warmth for the helpee and his world is related to the degree to which the helpee is able to respect and have a direct warm feeling towards himself and others.

Corollary 3. The degree to which the helper is helpful in guiding the exploration to specific feelings and content is related directly to the degree to which the helpee is able to make concrete his own problem areas.

Corollary 4. The degree to which the helper is responsively genuine in his relationship with the helpee is related to the degree to which the helpee is able to be responsively genuine in his relationship with himself and others.

Proposition 2. The degree to which the helping person initiates action-oriented dimensions in a helping relationship is directly related to the degree to which the person seeking help engages in processes that lead to constructive change or gain.

Corollary 1. The degree to which the helper can be freely, spontaneously, and deeply himself including the disclosing of significant information about himself when appropriate, is directly related to the degree to which the helpee is able to be genuine and self-disclosing in appropriate relationships.

Corollary 2. The degree to which the helper actively confronts the helpee and himself is directly related to the degree to which the helpee is able to confront himself and others.

Corollary 3. The degree to which the helper both acts and directs the actions of the helpee immediately in the present to the relationship between helper and helpee is related to the helpee's ability to act with immediacy and later to direct the actions of others.

Corollary 4. The degree to which the helper can make concrete a course of constructive actions is related to the degree to which the helpee can go on to make concrete courses of action for himself and others.

Assumptions Related To Discrimination and Communication Indexes:

Assumption 1.

The best index of future communicative functioning in the helper's role involves casting prospective helpers in the helping role in order to obtain a present index of communicative functioning in the helper's role.

Assumption 2.

The best index of future discriminative functioning involves obtaining an index of the prospective helper's present discriminative functioning.

Description, Explanation and Examination of the Basic Model:

As indicated in the previous section, it appeared that relationship effectiveness is not necessarily a function of the characteristics of the client, nor a function of treatment or program orientation as traditionally emphasized (Spilken et al, 1969). The Current Carkhuff-Berenson model for the facilitative helping relationship was developed as an extension of the work of Truax and Carkhuff (1967) in their research to determine and organize the central therapeutic ingredients of the effective helping relationship. The research efforts yielded that as greater research knowledge was gained, it tended to illuminate parochial theories and "schools" of psychotherapy and counseling. Consequently, identification of the essential characteristics or behaviors of the therapist or counselor that lead to constructive behavior change in the client, became the major question. By searching for the common elements in effective counseling, across divergent theories, including the psychoanalytic, the client centered, the behavioristic and other ecclectic and derivative theories, the researchers found that all have emphasized the necessity of therapist behaviors which were identified (by the authors) as accurate empathy, unconditional positive regard, and genuineness, (Truax & Carkhuff, 1967). Rogers (1957a) had earlier specified, at the descriptive level, the indicated interpersonal variables and maintained that such facilitative behaviors by the counselor are

both 'necessary and sufficient' conditions of client therapeutic change. The authors indicated that Rogers' position was the basic impetus for their 1967 research and theoretical organization and development at that time.

Later research by Carkhuff and Berenson (1967) expanded the model and developed instrumentation techniques for assessment of the levels of facilitation provided by the counselor in the helping relationship. The facilitative conditions were expanded to include the behavioral components of empathy, respect, genuineness, concreteness and self-disclosure (Carkhuff, 1969).

The model for the helping relationship according to Carkhuff and Berenson (1967), briefly stated aknowledges the relationship between 'core dimensions' if provided by the helper, mode of treatment and relationship effectiveness. Such core dimensions, considered imperative to the helping process, are presented within the total context of the helper-helpee relationship.

The development of the concept involving a central core of facilitative conditions around which potential preferred modes of treatment are built seems to explain a basic premise of the Carkhuff & Berenson (1967) model stated thusly:

> ...client movement is, in large part, accounted for by the level of the therapist's functioning on the core conditions ... We are suggesting that, given particular interaction patterns of relevant variables, a variety of counseling and psychotherapeutic approaches may constitute additional sources of effect in accounting for a separate and significant amount of the variability in the change (client) indexes (p. 44).

The relevant variables, according to Carkhuff, are those related most extensively to a variety of client change indexes (Carkhuff & Berenson, 1967; Truax & Carkhuff, 1967) employed to assess outcome,

and these variables involve those dimensions of the central core of facilitative conditions offered by the helper.

Thus those facilitators offering the highest levels of facilitative conditions tend to involve the persons to whom they are relating in a process leading to constructive behavior change or gain, both affective and cognitive or intellective to a greater extent than those facilitated offering low levels of facilitation. At the highest levels these facilitators communicate an accurately empathic understanding of the deeper as well as the superficial feelings of the client; they are freely and deeply themselves in a non-exploitive relationship; they communicate a very deep respect for the second person's (client) worth as a person and his rights as a free individual; and they are helpful in guiding the discussion to personally relevant feelings and experiences in specific and concrete forms (Carkhuff & Berenson, 1967).

Relating the core dimensions to client index changes, Carkhuff & Berenson (1967) have found that counseling and psychotherapy can have constructive or deteriorative consequences. They (authors) demonstrate that these consequences can be accounted for, in part, by the levels of facilitative dimensions at which the counselor and therapists are functioning (p. 277).

Concurrent with the above, Truax (1967) not only related the core conditions to positive change but negative as well: "There now exists a large number of studies (Truax 1967) which point to the conclusion that: when counselors and therapists communicate the basic core dimensions at a high level, there is a consequent client improvement; and when the therapists communicate at low levels in the core dimensions there is consequent client deterioration." These findings of significant

behavioral and personality change have been obtained in as varied populations as outpatients, college underachievers and juvenile delinquents (Cartwright, 1963; Rogers, 1962).

Relating the level of functioning to specific treatment orientation within the general context of the model, Carkhuff & Berenson point out that the model is an open, yet systematic, ecclectic model built around a central core of conditions shared by a variety of potential preferred modes of treatment. The model is multi-dimensional based upon the interaction of helper, client and contextual variables.

Summarizing the role of the facilitative additions within the helping process in terms of treatment orientation and diversity of personnel who may apply such variables in the helping relationship, Truax (1967) concluded: "Further, these findings (Whitehorn & Betz, 1954, 1963; Cartwright, 1963 etc.) seem to hold for both individual and group psychotherapy, whether the therapist be oriented toward client-centered therapy, psychoanalytic therapy or ecclectic (p. 1)."

While advancing the necessity of the 'core conditions', in effective relationship processes, Truax & Carkhuff (1967) present several studies which support this theoretical position, that is, level of therapist functioning on the 'core dimension variables' is directly related to therapeutic process effectiveness.

The evidence relating the counselor or helper-offered communication of empathy, respect, genuineness, concreteness, and self disclosure to indexes of client or helpee therapeutic process movement and constructive change is extensive (summarized in Berenson & Carkhuff, 1967; Rogers, Gendlin, (R) ; Kiessler and Truax, 1967 and Truax & Carkhuff, 1966). In addition, evidence is being provided (Myrick, 1969; Carkhuff,

1969; Carkhuff, Kratochvil & Friel, 1968) to indicate that discrimination of these dimensions is a necessary, although not sufficient condition of communication (Carkhuff, 1969; Carkhuff, Kratochovil & Friel, 1968).

a) Facilitative Dimensions and the Helping Relationship

The facilitative conditions relate directly to the two phase concept typical of the helping relationship. According to Carkhuff (1969) the two phases are evidenced by:

(1) the downward and inward phase in which a relationship is established and the helpee explores his area of concern.

(2) the phase of emergent directionality in which an attempt is made to search out and implement courses of action.

A basic distinction is made between the facilitative dimension (crucial in the first phase) and the action oriented dimension (crucial in the second phase).

(a) facilitative dimension -- empathy, genuineness, respect, concreteness and self disclosure

(b) action oriented dimension -- immediacy and confrontation[1].

b) Discrimination and Communication of Facilitative Conditions

The evidence relating the counselor or helper-offered communication of empathy, respect, genuineness, concreteness and self disclosure to level of relationship effectiveness and indexes of client therapeutic process movement and subsequently, constructive change, is extensive (summarized in Berenson & Carkhuff, 1967; Carkhuff & Berenson, 1967;

[1]Instrumentation of discrimination and communication scales involving description, operationalization, standardization and reliability, validity indices as presented in a lengthy section of Carkhuff 1969, Vol. I, p. 167-213.

Rogers, Gendlin, Kiessler & Truax, 1967; Truax & Carkhuff, 1966). In addition, there is evidence to indicate that discrimination of these dimensions is a necessary although not sufficient condition of communication (Carkhuff, 1969; Carkhuff, Kratochvil & Friel, 1968).

Discrimination and communication of the core dimensions, become relevant when we consider the relationship to the helpee. As Carkhuff proposed, 'if we assume that most clients are functioning at low levels of facilitation, then considering the relevant research it was found that relatively high level functioning helpers influenced the low level functioning helpee's levels by the level of facilitative conditions they offered (p. 24) (Cannon & Pierce, 1968 and Truax & Carkhuff, 1965).' In communication of the facilitative conditions, the helper concentrates more on facilitative dimensions of empathic understanding, warmth, respect and concreteness in order to create an atmosphere of trust or relationship facilitation. The helper, according to Carkhuff is most effective when he offers minimal levels of facilitative conditions initially.

The relationship between communication ability and discrimination ability rests with the question of whether discrimination is a necessary condition for communication. The results from the studies of the effects of professional clinical and counseling programs (Anthony & Carkhuff, 1969, Carkhuff, Kratochovil & Friel, 1968) have shown the two indices to be unrelated among persons who function at low levels in the helping -- hence, supportive evidence shows that discrimination is a necessary but not sufficient condition of communication.

Discrimination and Communication of Basic Facilitative Conditions

Level of facilitative interpersonal functioning of the helper is determined on the basis of (a) discrimination and communication of the basic facilitative conditions of empathy, respect, genuineness, concreteness and self-disclosure (Berenson & Mitchell, 1968; Carkhuff & Berenson, 1967; Rogers, 1967; Truax & Carkhuff, 1967).

The Discrimination and Communication Variables

1) Introduction

The two measures of levels of functioning are discrimination and communication, which have been devised as two indices of helper effectiveness based on the earlier theoretical formulations of 'core dimensions' postulated by Carl Rogers. That is, the above two indices are measures of discrimination and communication of the basic facilitative dimensions. Following examination of the evidence available, the direct implication is that the facilitative dimensions are necessary but not sufficient for constructive client change or gain (Carkhuff, 1969).

According to Carkhuff (1969) effective helping processes and outcome involve the discrimination and communication of both facilitative and action-oriented conditions. Emphasis is placed on the latter as Berenson and Carkhuff (1967) point out: "evidence for a relation between helper's skill in communication and a wide variety of helpee outcome indices is now quite considerable (p. 82)."

> Sensitive discrimination allows the helper to (1) discern the helpee's areas of functioning and dysfunctioning and (2) during the latter phases of treatment to make accurate prescriptions and prognosis concerning which of the alternative treatment modes might be most efficacious. Effective communication by the helper, in turn enables the helpee to experience being understood and facilitates movement toward deeper understanding (p. 82).

The most crucial of the indices is summarized by Carkhuff:

> In terms of procedure of measurement, the best single device for selecting individuals who will function effectively in the helping role as an index of the level of communication (of facilitative dimensions) of the individuals (p. 93, 1969).

With respect to the above measures, it is necessary to obtain first an index of level of communication of the facilitative dimensions by the subject and secondly it is necessary to obtain an index of level of discrimination of the facilitative dimensions by the subject. To obtain these indices, it is necessary to cast the helper into the helping role in order to determine a present index of communication and discrimination functioning in the helping role (Carkhuff, 1969).

Initially, from the theoretical base it was hypothesized that persons discriminating at high levels would be able to interpret and translate their discrimination into communicative skills. That is, the theoretical explanation indicated those raters who demonstrated a high ability to discriminate effective from ineffective helping processes would likewise be able to communicate at a high level. At this point the evidence is conflicting and as Carkhuff (1969) concluded, discrimination remains unrelated to communication amont low-level communicators. Stated alternately, discrimination is a necessary but not sufficient condition of communication effectiveness.

2) Index of Discrimination

> A discrimination procedure briefly states, involved presenting the subject with varying examples of high, moderate, and low levels of helper-offered conditions, in audo-taped form, as described in the studies by Carkhuff and Berenson (1967) and asking the subject to identify the levels at which the helper in the perspective excerpts is functioning. Those whose ratings agree closely with those of experts with demonstrated predictive validity of ratings (Carkhuff, 1969) are considered high discriminators and those whose ratings deviate greatly are considered low discriminators.

3) Index of Communication

> Procedure for measuring levels of communication briefly stated, involving presenting the subject with a series of helpee stimulus expressions with instructions to formulate and record in a written form, meaningful responses to these expressions. Overall communication levels of subjects are determined by the ratings of experienced counselors who have demonstrated highly reliable levels of communication and discrimination (Carkhuff, 1969). While the best index of future functioning in the helping role remains present functioning in the helping role, written helper responses to standard, audio helpee stimulus expressions yield accurate and efficient estimates of the helper's functioning in the helping role, particularly when ratings on the written form are high ... and the communication assessments derived from responses to helpee stimulus expressions are the most valid standard indices for selecting persons equipped to function effectively in the helping role.

IV PROFESSIONAL AND NON-PROFESSIONAL TRAINING: EFFECTIVENESS IN THE HELPING RELATIONSHIP

Evidence has indicated the importance of effective interpersonal skills for therapeutic effectiveness in the broad fields of rehabilitation -- whether clinical or counseling psychology, social work, psychiatry, etc. (Truax, 1967; Whitehorn & Betz, 1965, Berenson, 1967). Paralleling this growing awareness has been the realization that the service needs of society have far outstripped present and projected trained professional manpower.

Considerable literature exists indicating that research has been conducted in order to determine the efficacy of deployment of non-professionals into the helping professions.

A number of programs in the area of counselor preparation and training of social workers involving short-term accelerated training programs have been proposed and implemented.

Program for Lay Counselor Preparation (Truax & Shapiro, 1968)

and Social Work Aide Training (McLellan, 1968) are just a few such programs which have been implemented successfully. It appears that a major reason for evolving programs of non-professional status is to meet ever growing counselor and social service needs.

There exists primarily two positions of concern regarding preparation of lay helpers. (1) Many in the helping professions have expressed concern over the dangers of lowering professional standards and have stressed the employment of lay persons only as aides and assistants to free the professional from clerical and other menial duties (Schliosberg, 1967; Rosenbaurn, 1966; Patterson, 1966; Odgers, 1964 and Carkhuff, 1966). (2) Another group has emphasized the direct counseling contributions which lay persons can make and have explored the potentially unique advantages of selected sub-professions (Whitehorn & Betz, 1965; Minde et al, 1971; Gordon, 1965; MacLean, 1968 and McLellan, 1968; Truax & Carkhuff, 1967).

The position of professional associations reflect cognizance of this development. The American Psychological Association as summarized in Hoch, Ross & Winder (1965), pointed out that the association has some apparent ambivalence, and have assumed a relatively open stance, suggesting that "psychologists ought to keep an open mind, letting the results speak for themselves (p. 51)."

The official position of the Social Work Association, regarding sub-professional preparation and training appears best summarized by Stubbins at the Canadian Association of Social Work (1966). The Association's position was summarized thusly: "It is well known that the social work profession until recently thought that graduate education was the only acceptable preparation for personnel who man the social

services. However, the C.A.S.W. sees a need for career streams, imaginative and responsible experimentation with alternative career streams in social work (p. 64)."

A. The Non-Professionally Trained Counselor

The following is a review of research evidence indicating the findings of effectiveness and feasibility of paraprofessionals in the helping professions.

It should be noted that by reference to lay counselor, it is meant those helping persons engaged in counseling who are not products of professional, traditional graduate programs.

Truax, as an earlier researcher into the area of level of performance effectiveness of counselors, both lay and professional, presented evidence indicating the efficacy of deployment of non-professionals into the helping role. In assessing client change as a function of level of provision of the core dimensions, Truax employed specific selected personality measures and inventories (e.g. M.M.P.I., Edward Personal Preference Scale, Butler Haigh Q. Sort).

Leading from investigation of the core dimensions and the consequent implications for counselor preparation, it is worthwhile to examine some of the recent studies of Truax, Shapiro and McCormick into programs and research concerning the training of non-professional personnel lay counselors.

It is interesting to note the findings of the effectiveness of lay counselors with professionals in terms of certain outcome measures as related to the above specific counselor behaviors. Several specific studies (Bergin & Solomon, 1963; Melloh, 1964; and Baldwin and Lee, 1965) demonstrated that lay counselors were able to communicate levels

of accurate empathy and genuineness at a mean value which was not significantly different than the mean value of counseling practicum trainee's and professional experienced counselors. A later study (Truax & Sibler, 1966) found lay counselors produced levels of therapeutic conditions slightly below that of experienced therapists and considerably above that of graduate student trainee's.

It was significant that the Bergin and Solomon data and the Melloh data showed no significant relationship between levels of accurate empathy and graduate school grades, or practicum grades.

Evidence of lay counselor effectiveness, in terms of outcome, although more limited, suggests (Truax, 1966; and Berenson, Carkhuff and Myrus, 1966) that clients of lay group counseling showed improvement considerably beyond that seen in the control population on all measures of client outcome. There are, however, several questions about the design of the studies which could be persued.

Further examination of lay counselor effectiveness was conducted by Truax (1967) with 150 chronic hospitalized patients. A comparison of experienced therapists with lay therapists revealed that although the average level of therapeutic conditions provided by the experienced therapists, psychologists and social workers was slightly higher than that of the lay mental health trainees, it is significant that 31% of the sample of experienced professionals provided levels of accurate empathy at or below that of the beginning lay therapists (Truax, 1967, p. 1785).

Another study with the utilization of trained but non-professional workers was conducted by Margaret Rioch (1963) at which time she trained mature housewifes to be mental health counselors. Results indicated

such individuals were effective in their work with hospitalized schizophrenics.

Several studies, (Fellows & Walpin, 1966; and Berenson, Carkhuff & Myrus, 1965) employed basic training programs of approximately 100 hours with non-professionally trained persons and found that the lay counselors were able to provide levels of the core dimensions at a level not significantly different from professionals in some cases. Other studies, (Truax, Sibler & Wargo, 1966b) have shown that such lay personnel proved therapeutic in producing positive outcome changes with hospitalized clients.

Unlike Truax, Carkhuff has presented additional evidence which has indicated that lay persons can be trained to function at minimally facilitative levels of conditions related to constructive client change over relatively short periods of time.

Further findings suggested both carefully screened college graduates interested in school guidance activities and unselected volunteers from the school, hospital and community demonstrated change in the direction of more facilitative functioning on dimensions related to constructive client change or gain in training periods from 20 hours to one year (Carkhuff, 1968).

Continuing on, Carkhuff pointed out that little evidence exists to indicate that professional trainees are able to function effectively on any of the specified dimensions related to constructive client change over long periods of training (1968). The evidence on communication of facilitative dimensions related to constructive client change (Bergin & Solomon, 1963; Carkhuff, Kratochvil & Friel, 1968) as well as the ability to judge the personality characteristics of others (Arnhoff,

1954; Kelly & Fiske, 1950; Taft, 1955; Weis, 1963) for graduate trainees screened primarily on intellective indices yielded negative results over periods ranging from four years upwards; although the results of one intermediate type professional two-year rehabilitation counselor training program were positive (Anthony, 1968).

Not only can lay persons be trained to function at levels of facilitation as high or higher than professionals, but Carkhuff (1968) concluded: "there is extensive evidence to indicate that lay persons can effect significant constructive changes within clients whom they see (p. 119)." It should be noted, however, that the studies comparing lay performance versus professional are not always comparable, especially in terms of selected outcome indices; therefore, interpretation of the findings is restricted by this qualification.

Not all comparative studies have yielded evidence supportive of the lay personnel as counselors. Sines et al (1961) in a study whereby untrained hospital attendant therapists engaged in therapy with specified clients yielded no positive results.

Rosenbaum (1966) and Rioch (1966) indicated in a limited follow-up study design the effects of specific training for the lay counselor are not lasting over time.

Having presented considerable evidence in supporting the training of lay persons, Carkhuff conceptualizes the explanation of such differential performance as due to the professional practitioner focusing upon highly elaborate, highly cognitive systems in coping with a client. Also the professional's efforts are role dominated, and it is frequently his theories and techniques that are most employed in the relationship--not the counselor specific behaviors (1968).

Taking into account the above evidence, Carkhuff concluded: "It is imperative that the professional programs in guidance, counseling, and clinical psychology as well as psychiatry and social work, not only look downward to the 'lower level' programs for their own distinctive contributions, but also to incorporate the simple emphasis upon core conditions conducive to facilitative human experiences and the simple procedures for training people in discriminative and communicative skills (Carkhuff, 1969)."

B. The Non-Professionally Trained Social Worker

In the field of social work and public welfare, the employment of untrained workers to assist trained personnel, e.g. case aides, high school graduates or personnel of varying amounts of in-service training, is not a recent practice according to the Department of National Health and Welfare, Survey of Welfare Postion Report (1954). At this point in the review, the above lay trained does not comprise the "undergraduate social worker" (Stubbins, 1966 & Katz, 1967). Exactly what role functions the untrained worker is responsible for depends primarily on the policy of the respective agency and only secondarily on the characterological or professional qualifications of the individual (Minde, 1971).

Other educators and administrators in social welfare have pointed out the inclusion of sub-professionals into the program is necessary, and as well made predictions about the future. Katz (1967) having considered the problems of manpower indicated that the already small ratios of professionals to non-professionals occupying welfare posts will likely continue to decrease. It has been predicted that persons trained outside the schools of social work will preempt the major fields of social work (Wilensky & Lebeaux, 1965). Katz further pointed out that

"social work has shown a lack of realism ... to the solution of critical and chronic personnel needs of the welfare field. It is clearly impossible for Canadian graduate schools of social work ... to supply, at the Master's level, sufficient numbers of qualified social workers (1965, p. 214)." The above mentioned author concluded, "Any realistic plan for increasing the output of needed personnel must include the preparation of practitioners through undergraduate programs of professional study (1965, p. 214)."

In the area of undergraduate education as training for social work practice, Stubbins reflected a similar position to that of Katz (1965), and drew attention to the extremely limited supply of professionally trained social workers and the supply of educated B.A. level individuals with a complete lack of social work training. Stubbins summarized the position of C.A.S.W., by calling for alternative (undergraduate education) as a means of accomplishing this goal.

Social work has recently become concerned with the question of preferential modes of training and the related effectiveness of the practitioner. Unlike the area of counseling and psychotherapy, social work research directed at assessment of the outcome effectiveness of lay and professional training is limited to date. A few studies, however, present findings not altogether different from those studies reviewed above in the area of counseling and psychotherapy.

Proponents of the inclusion of the "untrained worker" in the field service include individuals like Golner; who has shown the increased advantages of including non-professionals, along with professionals in intervention techniques of home family counseling. At the conclusion of the above study Golner (1971) indicated; "there is

support also for assigning non-professionals to helping roles (p. 65). Golner adopted the Cowan et al statement of a non-professional to include -- housewives, neighborhood leaders and college students. Cowan et al indicated that non-professionals like those described above, working with low-income persons are in a "better position" to help than mental health clinic professionals for the following reasons:

(1) The non-professional may have greater energy and enthusiasm and become more involved;

(2) Clients see the non-professional as a peer, whereas they view the clinic professional as an unapproachable authority with whom they cannot communicate;

(3) Non-professional is less formal and less rigid (Cowan et al, 1967).

Minde et al (1971) employed "untrained workers" and trained workers in a study at McGill University in order to compare selected personality variables as well as administrative excellence. An "untrained worker" was defined as an individual who worked in a social agency or hospital social service department, had not received a formal social work education but at least had finished high school. Trained workers were defined as social workers who held the equivalent of MSW or ACSW. Minde found that the untrained workers tended to have poorer mental health attitudes and were rated as inferior clinicians by their supervisors.

Interested in performance of the Bachelor level social worker at the research level, Waters and Bartlett (1970) conducted an initial study employing the above as "aides" or "sub-professionals" in order to test the hypothesis that Bachelor's degree personnel with adequate training and supervision can be effective school social workers. Although the results suggested little difference in performance between

the professional and sub-professional group, results were limited in generalizability due to the poor design and execution of the study. In the conclusion of the project the authors stated that "in order to obtain more conclusive data; more thorough research is necessary using Master Level Social Worker (p. 14)."

McClellan (1968) supported the role of the community college in the preparation of personnel in colleges of applied arts and technology, in terms of utilization of non-professional personnel in the social services. Not only do advantages related to manpower needs become apparent, but also according to the author, the graduate of a two-year vocational college program had contributions of a specific and applied nature, not typical of the M.S.W.

Unfortunately, although there has been several individuals concerned with the relationship between professional and sub-professional training and effectiveness in the field of social work (Plowman, 1967; Irving, 1971; Waters & Bartlett, 1969), very little research of employing acceptable designs, methodology and instrumentation appear to exist. The few studies considered (Minde, 1971; Waters and Bartlett and Golner, 1971) which attempt to examine this question, present results which are equivocal in terms of differential effectiveness of the professional and non-professional.

V. THE RELATIONSHIP OF EXPERIENCE TO PRACTITIONER LEVEL OF FUNCTIONING IN THE HELPING RELATIONSHIP

Evidence regarding the association of related experience to the effectiveness in the helping relationship is at present both inadequate and contradictory (Plowman, 1967; Cavan & Carkhuff, 1969).

The Social Work profession is restricted in the amount of available research correlative to the variable of experience and helping effectiveness. However, the limited amount of investigation which has been conducted is worth reviewing.

Briar et al (1968) coordinated and analyzed a series of contributions by professional social workers in the field of social work in an attempt to identify the most important issues confronting social casework. Included in the analysis was the Rosenblatt (1968) study which examined the present status of ongoing research, as well as implementation of the same by the practicing caseworker. Considering the above investigation Briar, related training program and experience thusly: "the theories, techniques and skills taught in some schools of social work are of questionable value. So it is possible that the schools may not even be the best place to learn to be an effective social worker; experience is still a potent teacher (1968, p. 59)."

Alluding to, but not identifying specifically, the role of experience and professional competence, Waters and Bartlett (1970) conducted an evaluative study on effectiveness of the bachelors level social worker, as different from the Masters level trained worker.

The authors concluded that the "ability to help is not considered to be the exclusive domain of the professional, ... and a School of Social Work is not always considered to be the only route to learning the techniques, skills and theory required to be effective."

In the Minde (1971) study, which carried out a comparison of professional with untrained social workers on selected personality variables and clinical effectiveness, the authors found that length of work experience along with age was not related to the adequacy of

the individual to be a good clinician. The generalization of the results was limited somewhat due to instrumentation technique of self report (Minde, 1971).

As indicated earlier, there is insufficient systematic research available which has, under controlled experimental design, determined the effects of the experience variable in the helping relationship. Within the field of counseling, however, a considerable amount of information relating to the study of the experience factor is available and of value to such a survey.

In an earlier study designed to examine the incidence of the core conditions operative at varying levels of therapist experience in applied fields, Strupp and his co-workers (1960b) in a study of 126 psychiatrists of varying levels of experience found that in the measurement of therapeutic attitude toward the patient it was revealed that less than one-third of the therapists could be rated as having a warm attitude, while more than one-third were rated has having a low or cold level of warmth or rejecting attitude.

In a later comparison with 55 psychiatrists and 55 psychologists, matched on the basis of length of experience, Strupp found no significant difference in measured level of facilitative conditions between the two groups across the various experience levels.

Employing a questionnaire assessment technique to determine facilitative attitudes towards clients, Strupp (1960) investigated a sample of 237 helping personnel consisting of psychiatric social workers, psychologists, and psychiatrists and found that level of facilitative attitude was not related to length of experience as a practitioner.

It is of interest to have some evidence of the relative levels

conditions offered by inexperienced lay therapists and experienced professional therapists. Although the sample size was small (16), Truax, Sibler & Carkhuff (1966) found that average level of accurate empathy and non-possessive warmth were slightly higher for the experienced professional therapists; conclusions to be drawn from this study were limited due to design weaknesses. It was further determined by the author that although the experienced therapists as a group provided higher overall levels of the specified conditions, 31% of the sample of the same group provided levels of the mentioned conditions at or below the level provided by beginning lay therapists.

Another research project suggested related experience and level of facilitative functioning is not positively correlated. A report by Carkhuff and Truax (1965a) compared the levels of functioning in post-graduate clinical psychology trainees, lay helpers and experienced and highly skilled therapists. There was no significant difference in measured levels of communicated conditions of empathy, genuineness and unconditional positive regard across the levels of experience although ordering of groups was in the expected direction. On the various 9 point scales the experienced therapist averaged 5.5, psychology trainees 5.2, and lay trainees 4.8. Results of the above study are interpreted in light of the interaction effect for training and experience not separated out. It should be noted that the experienced therapists, as one of the contrast groups, consisted of Drs. Carl Rogers, Albert Ellis, Rollo May, Julius Seeman and Carl Whitaker.

Subsequent to the several studies mentioned above, Truax and Carkhuff (1967) found experience was not a variable positively related to practitioner effectiveness and hence facilitate constructive change

in the client (p. 354)." The authors suggested the lack of correlation between experience and maturity was due to a tendency of experienced therapists to adopt professional prejudices, and a consequent unconcern with feedback from the client.

A review of the literature dealing with helpers' ability to discriminate the facilitative conditions of empathy, respect, genuineness, concreteness, self disclosure, confrontation and immediacy appears to be a function of the clinical experience or training of the rater (Cannon & Carkhuff, 1969).

In a study carried out by Cannon and Carkhuff, 1969, 80 subjects including (a) experienced counselors and psychotherapists, (b) undergraduates with experience in the counseling role, (c) graduate trainees in counseling and psychotherapy, and (d) undergraduates with no experience in the helping role were included. Level of interpersonal functioning was assessed on the discrimination and communication indices and analyzed across four levels of experience. Results indicated that experience related to the helping role was found to have a significant effect on level of functioning on discrimination of facilitative conditions.

The authors explained the findings by explaining that the results indicated increasingly higher communication levels, response repertoires, and finer discrimination levels with experience and/or training.

Previous findings of average levels of interpersonal functioning at different experience levels (Berenson & Carkhuff, 1967) were similar to the above indicated study. Carkhuff (1969) concluded, along with increasingly higher levels of communication, discrimination ability is a function primarily of clincial experience of the helper as well as

type of training (p. 129).

Cannon & Carkhuff (1969), in investigating the effects of rater level of functioning and experience upon discrimination of facilitative conditions, found that in assessing the independent effect of experience on discrimination, for both high and low levels of functioning, experience had a significant ($p = .01$) effect on accuracy of ratings (p. 190).

Further the relationship between level of facilitating dimensions and experience of the helper was investigated by Ables (1962) who found that with increased experience helpers were more able to respond to the affect level of clients and were more aware of their own feelings in reaching to clients -- hence more empathic. Similarly, Kell and Meuller (1966) point to increased ability of more experienced therapists to use their awareness of client's feelings in a selective way, with increased potentials for contributing to change.

Mullen & Abeles (1971) presented results that supported the findings of the aforementioned studies, i.e. experienced and inexperienced therapists differed considerably on the scales of empathy and respect. The authors concluded:

> Apparently experienced therapists, because of their greater experience and/or training are generally more aware of all levels of the client's feelings throughout therapy. Experienced therapists then, will probably get to know their clients sooner in more depth than inexperienced therapists. (p. 42, Mullen & Abeles, 1971).

It appears, consequently, that the status and effects of experience at present are uncertain and as the following authors pointed out, the results of investigations of the effects of experience are equivocal (e.g. Ambre & Moore, 1966; Arnhoff, 1954; Greenwood & McNamara,

1967; Jones, 1957; Oshamp, 1962; Watley, 1967).

VI SEX DIFFERENCES IN PERFORMANCE OF LEVEL OF FACILITATIVE BEHAVIOR

In considering other correlates of level of facilitative behavior, the sex variable appears important to investigate. Truax (1967) and Carkhuff & Berenson (1967) indicated a possible relationship of level of facilitative functioning and sex of respondent. The hypothesis of a relationship was explained according to the provision that the facilitative conditions specified by the theoretical model call for behaviors that resemble social expectations more often of the kind associated with the female role (Carkhuff and Berenson).

McClain (1968) expanded the explanation and suggested that the facilitative conditions are typified by receptive and passibe behaviors.

Myrick (1969) conducted a project to assess the effects of models on the verbal behavior of counselors. The researcher found a significant difference in the incidence of self-referents among the male and female subjects. The difference occurred as an interaction effect among the variables. Myrick concluded: "more study is needed regarding the sex variable and measure performance on specific behavioral dimensions (1969, p. 189)."

Cline (1964) and his co-workers in a research project compared judging ability on interpersonal perception, (empathy) among several groups of various training and experience backgrounds. It was found that women consistently obtained higher scores than men although the differences were not statistically significant.

Another study conducted by Ottern and Arbuckle (1964) employed a sensitivity scal to determine differences on sensitivity ratings.

The findings revealed that sex had no significant relationship to score received on their Sensitivity Scale.

Given the lack of agreement in findings regarding the sex variables as well as the implications of more conclusive findings to the helping relationship, there is reason to believe that an analysis which examined differences relating to sex of respondent would be worthwhile.

CHAPTER III

DESIGN OF THE STUDY

The basic two dimensional (5 x 3) Factorial Design was chosen as the research design in the present correlation study (Kirk, 1969). Factor A consisted of five levels according to training program and Factor B consisted of three levels according to years of related work experience. This design was selected because it allowed for within and between level comparisons of performance on the selected criterion variables. Since the study was correlational in description vis-a-vis the relationship between measured level of performance on the Carkhuff Discrimination and Communication Indices and type of training and length of experience of the subject, the 5 x 3 two dimensional matrix design was the most appropriate.

I INSTRUMENTATION

All subjects were required to complete the following assessment battery, in the stated order. An information sheet was completed first of all, in order to provide the required descriptive data about the subject. (Appendix A)

1. The Carkhuff Communication of Helper Responses to Helpee Stimulus Expressions Index (Appendix B)
2. The Carkhuff Discrimination of Helper Stimulus Expressions Index (Appendix C)
3. The Lorge-Thorndike Intelligence Test: Verbal Battery (Level H)

The Indices of Discrimination and Communication

Introduction

Insofar as communication and discrimination of facilitative conditions are central ingredients in all helping relations (Carkhuff, 1969), assessment indices are required to accurately sample the discrimination and communication behavior of individuals who have been experimentally placed into an artificial helper-helpee situation and asked to respond as a 'helper' to various helpee stimulus expressions (communication ability). The same individuals are required to evaluate a series of helper responses that, in conjunction with helpee stimulus expressions, allow us to assess discrimination ability. Thus, according to Carkhuff, the best index of future functioning of an individual in the helping role is assessment of present level of functioning of the levels of discrimination and communication of the core of facilitative conditions.

The Carkhuff Communication of Helper Responses to Helpee Stimulus Expressions Index

Level of communication of the core of facilitative conditions is determined by presenting the subject with a series of helpee stimulus expressions with instructions for the subject to formulate and record in a written form meaningful responses to these expressions. The 16 client stimulus expressions are standardized and represent helpee expressions which have been developed to sample responses that cover a wide range of problem areas. That is, the helpee expressions represent client statements from actual counseling situations which cross three dominant affect areas with five dominant content areas. The affect areas include the following: (i) depression-distress; (ii) anger-hostility; (iii) elation-excitement.

The content areas include the following: (i) social-interpersonal; (ii) educational-vocational; (iii) child-rearing; (iv) sexual-marital; (v) confrontation of counselor. The excerpts are arranged so that each affect area is matched with each content area. In addition a silence excerpt is included as a stimulus for eliciting subject's response.

The subject's level of functioning on the core of facilitative conditions is obtained by rating his levels of responses to the helpee's expressions. The rating of response levels is conducted by use of trained and experienced raters with demonstrated high indices of intra/interrater reliability and percentages of agreement employing five-point rating scales, assessing the following conditions of interpersonal processes (Carkhuff, 1967):

> Empathic understanding (E) ranges from Level 1, in which the expressions of the counselor either do not attend to or detract significantly from the expressions of the client, to Level 5, in which the counselor's responses add significantly to the feeling and meaning of the client. Respect (R) ranges from the lowest levels, in which the expressions of the counselor communicate a clear lack of respect for the client, to the highest level, in which the counselor communicates the very deepest respect. Genuineness (G) varies from Level 1, in which the counselor's verbalizations are clearly unrelated to what he is feeling at the moment, to Level 5, in which he is freely and deeply himself in a non-destructive relationship. Concreteness (C) ranges from the lowest level, in which the counselor leads or allows all discussion to deal only with vague and anonymous generalities, to the highest levels, in which he is always helpful in guiding the discussion to specific feelings and experiences. Self-disclosure (Sd) varies from Level 1, in which the counselor actively attempts to remain detached from and disclose nothing to the client, to Level 5, in which he volunteers, under appropriate circumstances, intimate material about himself. (p. 69).

Acceptable indices of test reliability and inter/intrarater reliability have been reported for the communication scales in the

following studies: Canon (1969); Carkhuff, Kratochvil (1968); Carkhuff (1969) and Kratochvil (1969).

Cannon (1969) found Pearson Product-Moment correlations for two trained raters. Individual rate-rerate reliabilities employing gross ratings form were .95 and .93 and interrater reliability was .89. Carkhuff, Kratochvil and Friel (1968) determined Pearson r's on intrarater reliabilities on the individual counselor offered dimensions and the findings were as follows: E Scale = .90, .99, .94; R Scale, .95, .89, .89; G Scale .93, .97, .94; C Scale, .92, .95, .77 and Sd Scale, .89, .97, .97. Interrater reliabilities were as follows: E Scale .88, .87, .85; R Scale, .88, .86, .87; G Scale, .88, .88, .86; C Scale, .85, .83, .81; Sd Scale, .83, .83, .81.

Validity of the Communication Index has been demonstrated, and the degree of validity of the rating scale evidenced is largely a function of the particular raters who employ them (Carkhuff, 1968; Lehman, Ban, Donald, 1965; and Marsden, 1965).

The Carkhuff Discrimination of Helper Responses to Helpee Stimulus Expression Index

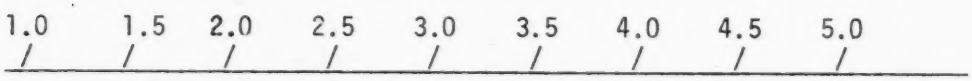
Level of discrimination of the core facilitative conditions involves an assessment of the ratings of standardized and representative helpee stimulus expressions. That is, the subject is asked to employ a form (see Fig. 1) yielding gross ratings of facilitative interpersonal functioning in rating the level of helper communication to helpee expressions, given the indicated mental set (see Fig. 1) stereotyped modes of helper responses. The two variables that were manipulated in formulating helping responses were (i) the level of facilitative conditions offered by the helper and (ii) the helper's

FIGURE I

Gross Ratings of Facilitative Interpersonal Functioning

The facilitator is a person who is living effectively himself and who discloses himself in a genuine and constructive fashion in response to others. He communicates an accurate empathic understanding and a respect for all of the feelings of other persons and guides discussions with those persons into specific feelings and experiences. He communicates confidence in what he is doing and is spontaneous and intense. In addition, while he is open and flexible in his relationships with others, in his commitment to the welfare of the other persons he is quite capable of active, assertive and even confronting behavior when it is appropriate.

You will hear a number of excerts taken from therapy sessions. Rate each excerpt 1.0, 1.5, 2.0, 2.5, 3.0, 3.5, 4.0, 4.5, or 5.0 using the continuum below.



None of these conditions are communicated to any noticeable degree in the person.

Some of the conditions are communicated and some are not.

All conditions are communicated at a minimally facilitative level.

All of the conditions are communicated, and some are communicated fully.

All are

action orientation. Thus, in response to each helper stimulus expression, four possible combinations of helper responses occur in random order: high-facilitative (HF)-high active (HA); High facilitative (HF)-low active (LA); low facilitative (LF)-high active (HA); low facilitative (LF)-low active (LA). Expert ratings of counselor responses to helper stimulus expression has been established by raters "who have demonstrated a great deal of predictive validity in previous studies" (Carkhuff, 1969a, p. 123)'.

The subjects' discrimination scores (5-point scale) were established by determining the mean absolute deviation (independent of direction) of any subject's rating from the consensus expert rated key values (see Carkhuff, 1969 p. 124, Vol. II).

The index of reliability reported for the discrimination on a population of graduate counselor trainees was .79 and .83 (Carkhuff, Kratochvil and Friel, 1968).

The Lorge-Thorndike Intelligence Test:
Verbal Battery (Level H)

The Lorge Thorndike Intelligence test (verbal battery) was included in test battery as a measure of verbal intelligence, in order to determine whether the differences, if any, in performance on the two dependent variables (Discrimination and Communication) might be attributable to differences in IQ of the subjects. Truax and Carkhuff (1967) have presented findings that have suggested intelligence is not related to level of facilitative functioning. However, Bergin and Solomon in a study to investigate a number of correlates of empathy, found that there was a negative correlation of verbal intelligence (-.30) with performance on the empathy index (1963)

According to Buros (1965) the test is among the best group intelligence tests available from the point of view of the psychological constructs upon which the test is based and that of statistical standardization. Reported reliability on test-retest and split-half were .76 and .90 (Buros, 1965). Concurrent validity established with the Wechsler Adult Intelligence Scale was .65, .54, .71 and .77, and with the Stanford-Binet concurrent validity was demonstrated to be .87 (Buros, 1965).

II HYPOTHESES TESTED

This project investigated some performance aspects of the caseworker. The investigation was carried out by assessment of communication and discrimination of the facilitative conditions of interpersonal functioning which have been demonstrated to be related to the process and outcome effectiveness of the helping relationship. Provision of the facilitative conditions has been postulated to relate to training background and to clinical or casework experience (Truax, 1967; Truax & Carkhuff, 1967; Carkhuff & Berenson, 1967; and Carkhuff, 1969).

It was necessary to examine, through an exploratory correlational study, whether a relationship appeared to exist between the level of training, level of experience and measured level of functioning on the Communication and Discrimination of the basic facilitative behavioral indices developed by Carkhuff (1969).

Primary Hypotheses

Hypothesis I

There will be significant differences in the measured level of

communication, as assessed by the Carkhuff Communication Index, among the research sample groups as identified by training program.

Hypothesis II

There will be significant differences in the measured level of discrimination, as assessed by the Carkhuff Discrimination Index, among the research sample groups as identified by training program.

Hypothesis III

There will be significant differences in the measured level of communication, as assessed by the Carkhuff Communication Index, among the research sample groups according to years of experience.

Hypothesis IV

There will be significant differences in the measured level of discrimination, as assessed by the Carkhuff Discrimination Index, among the research sample groups according to years of experience.

Secondary Hypotheses

Hypothesis V

There will be no significant differences in measured levels of discrimination, as measured by the Carkhuff Discrimination Index, between males and females, irrespective of training programs or number of years of experience.

Hypothesis VI

There will be no significant differences in measured levels of communication, as measured by the Carkhuff Communication Index, between males and females, irrespective of training programs or number of years

of experience.

Hypothesis VII

There will be no significant relationship between intelligence, as measured by the Lorge-Thorndike Intelligence Test: Verbal (Level H), and measured levels of discrimination, as measured by the Carkhuff Discrimination Index, irrespective of training program or number of years of experience.

Hypothesis VIII

There will be no siginficant relationship between intelligence, as measured by the Lorge-Thorndike Intelligence Test: Verbal (Level H), and measured levels of communication, as measured by the Carkhuff Communication Index, irrespective of training program or number of years of experience.

Hypothesis IX

There will be no significant correlation between measured level of discrimination and measured level of communication with individuals, assessed respectively by the Carkhuff Discrimination/Communication Indices.

III THE SAMPLE

Social workers in the three major urban centers of Edmonton, Calgary and Red Deer serve as subjects for the study. Further, the individuals eligible for inclusion were defined as those caseworkers who spend at least fifty per cent of their working time engaged in relationship activities. As earlier noted, relationship activities involved specified skills which included:

casework interviewing, direction-guidance giving, personal rehabilitation, counseling, various therapy modalities and other social personal adjustment activities specific to the helping relationship.

Trainees, included in the sample, were defined as any students enrolled in the first year of a Social Service program at the three following colleges within the province: Mount Royal, Calgary; Northern Alberta Institute of Technology, Edmonton; Red Deer College, Red Deer.

The various Social Service and Social Welfare agencies within the designated areas were approached, and provided the researcher with the names of respective personnel determined to be working within the specified category. The social workers were first contacted by letter (Appendix D), and a follow-up contact was made by telephone.

Thus, having met the initial criteria for selection outlined above (fifty per cent or more of time engaged in relationship activities) the subjects were assigned to the following categories according to training background (Figure 2):

Level I: (Master Degree in Social Work), e.g. M.S.W., A.C.S.W.

Level II: (Bachelors Degree) e.g., B.A., B.Ed.

Level III: (Non-University/Vocational College Trained) e.g., R.C.M.P., Institutional Attendant.

Level IV: (College Trained) e.g., Diploma in Social Services.

Level V: (Vocational College Trainees) e.g. students in first year of social Services or Child Welfare program.

Within the five training levels presented above, individuals were assigned to three levels of related case work experience (number of years of social work or social work related experience). The categories were (Figure 2):

Level I: One year or less experience.

Level II: One to two years experience inclusive.

Level III: Three or more years of experience.

FIGURE 2

DESIGN MATRIX
(Subject Distribution by Training and Experience)

Experience Level in Years

Training Level According to Program	<1	1-2	3>	Total
I	(1,1) 7	(1,2) 7	(1,3) 9	23
II	(2,1) 6	(2,2) 9	(2,3) 10	25
III	(3,1) 6	(3,2) 9	(3,3) 6	21
IV	(4,1) 9	(4,2) 6		15
V	(5,1) 10			10
Total	38	31	25	94

From each of the matrix cell populations, ten individuals were randomly selected (IBM/360 Random Numbers) for inclusion in the study.

Each of the selected individuals was contacted by telephone, a second time, and appointments were made for an assessment interview. The number of subjects required to complete the matrix was, N = 120. Following assessment interviews and data collection, complete data on the specified inventories resulted in some of the cells containing

less than ten, the number suggested for the above research design employing random selection of subjects representative of an identified population (Campbell & Stanley, 1968).

The resultant sample consisted of 94 subjects; 48 males and 46 females. The unequal cell frequencies are indicated in Table I. To adjust for the unequal cell frequencies, the statistical treatment of the data was conducted employing Analyses of Variance for a fixed effects model for unequal observations in each cell, rather than the proposed test for equal cell observations (Kirk, 1969).

IV COLLECTION OF DATA

Having agreed to participate in the study, an individual assessment interview with each of the social workers was carried out. The procedure used to collect the data was as follows:

1. Interviewer determined whether participant had, up to time of assessment, been exposed to all or any part of the Carkhuff Training Program (such exposure would have disqualified participation.)

2. If negative response to 1, the participant was asked to complete the Carkhuff Communication of helper Responses to Helpee Stimulus Expression Index, following the specific instructions presented on page 1 of the inventory (Appendix B).

3. The participant was then asked to complete the Carkhuff Discrimination of Helper Responses to helpee Stimulus Expressions, following the instructions presented on page 1 of the inventory (Appendix C). To avoid bias of responses on the Discrimination Index it was imperative that the Communication Index be completed first.

4. The participant was asked to complete the Lorge Thorndike Intelligence Test: Verbal Battery (Level H).

5. Finally the participant was asked, upon completion of the inventories, to place the

contents into the provided envelope, seal it, and in the space provided indicate only:

a) sex
b) training background
c) years of related experience

The completed sealed envelopes were then collected by the interviewer. Deletion of names on all materials and envelopes ensured anonymity of participants.

V TRAINING OF RATERS AND SCORING OF DATA

Introduction

Evaluation of the social worker responses, provided to each of the sixteen standardized helpee expressions, required the employment of rating scales on specific behavioral criteria. Thus, trained raters were necessary to rate each of the responses according to the five basic criterion scales of facilitative conditions specified by Carkhuff (1969).

Selection of Raters

Theory and evidence relating to the assessment of the basic facilitative conditions indicated that the rater must possess a high level of discrimination ability (Cannon & Carkhuff, 1969). Thus, according to the authors, only those individuals who are themselves functioning at effective levels interpersonally can make the necessary discriminations of high, moderate, and low levels of facilitation. Following the specified criteria, that raters of high levels of functioning (3.0 or greater on the five basic subscales), the three selected raters for the present study were given the

Carkhuff Discrimination Index to determine initial level of functioning. Performance on the Index placed the raters within the 0.5 absolute deviation score [specified by Carkhuff (1969) as the minimum score deviation for accurate rating ability]. Thus, the raters chosen for this study has satisfied the criterion level of discrimination ability.

Training of Raters

The three raters, were all doctoral candidates in counseling psychology at the University of Alberta. Training of each of the raters was then carried out on each of the five Carkhuff Training Scales - Accurate Empathy, Respect, Genuineness, Self Disclosure and Concreteness. The training program was conducted by a counseling psychology doctoral student who was experienced in training on the five facilitative dimensions, and who did not take part in the rating of the actual data. Each of the scales consisted of five levels (1.0 - 5.0), indicating the degree to which that behavioral component is provided. The raters, subsequent to training, were presented with the practice excerpts to determine amount of intra/interrater consistency prior to rating actual data. Practice evaluation and retraining continued until the raters established a .92 percent of rater agreement on expert rated samples.

Scoring and Analysis of Data

Following achievement of the above acceptable estimate of rater agreement (Winer, 1962), the raters employing the gross rating form of interpersonal functioning proceeded to score the actual data (Carkhuff, Kratochvil & Friel, 1969). The actual response expressions

of the social workers were typed and number coded, so as to ensure elimination of rater bias arising from form, style, etc. The typed excerpts were then presented in random order to the raters. Each of the 1,514 response expressions was independently rated by two of the three raters. Thus each excerpt of the Communication Index (16 in total) was assigned a value from 1.0 (low) to 5.0 (high). Half units are assigned in using the scale to increase measuring precision. Sixteen individual scores for each subject were obtained on the Carkhuff Communication Index.

Each of 16 helpee expressions on the Discrimination Index contained four helper responses. The respondent rated each of four responses on the 1.0 - 5.0 point scale given (Appendix C). Thus, the score for each of the 16 items was calculated by determining the respondents' deviation score from the perfect or keyed score and then summing up the deviations (regardless of sign) across all (4 x 16 =) 64 responses. Hence, a person who scored high (high overall deviation score) was low on discrimination ability. For this study the mean deviation score for each individual was obtained, then analysed.

An overlap - alternating procedure of excerpt training was employed. In addition, during the rating of the actual excerpts three sets of anonymous samples were included (near beginning, middle, and near end) in an attempt to periodically ascertain interrater agreement and the original criteria defined by the scales. The index of rater agreement on the anonymous samples was 1.0. Following is presented the estimates of interrater reliability and overall precent of agreement.

(i) Interrater Reliability

The Pearson Product-Moment coefficient was calculated between each of the rater pairs on the ratings assigned to each of the excerpts independently rated by rater pairs. Interrater reliabilities for each of the three pair possibilities were:

Rater (1) and (2); $r = .91$

Rater (2) and (3); $r = .89$

Rater (1) and (3); $r = .89$

To arrive at the average 'r' value across total pair ratings, the coefficient for each judge pair was converted to z_r scores, then the mean of the like pairs was determined in terms of the z_r mean. That value (mean) was then converted from an X_{z_r} to arrive at the average 'r's shown above (Ferguson, 1959, p. 412).

(ii) Rater Agreement

Rater agreement, as different from interrater reliability, determines the consistency with which the raters ranked the responses in the same order; but, more important to the utilization of rating scales in measurement procedures - estimates of rater agreement indicate to what extent the raters assign the same absolute value (1.0 - 5.0 scale) to any given excerpt. Hence greater validity and reliability in measurement procedures is achieved with a high index of rater agreement. The following indicate the overall percentage of agreement for rater pairs:

Rater (1) and (2); .83%

Rater (2) and (3); .92%

Rater (1) and (3); .89%

Analysis of Data

The Procedure followed in testing the hypotheses is described below. The IBM 360/67 computer was used for all data analysis.

Hypotheses I and III

1. The raw data, composed of 16 pairs of response values, were calculated for each subject from the Carkhuff Communication Index.

2. The Communication scores for each subject were entered directly on to the data sheet for analysis of variance on each of the 16 items as well as analysis of the total overall communication score for each subject.

3. The total group (N = 94) was compared for significance of differences among the means using the one and two-way analyses of variance (fixed effects model with unequal n's in each cell) as the test of significance. If the significant differences occurred among either levels of the two factors, Scheffé a priori tests of pair-wise comparisons of means were applied in order to determine where the differences occurred.

Hypotheses II and IV

1. Raw data from the Carkhuff Discrimination Index were converted into a single subject score by computing the mean deviation score for on all of the (n = 64) responses.

2. The Discrimination deviation score was entered directly on to the data sheets as the seventeenth variable (16 communication items). Analysis of the Discrimination performance was carried out as a single overall score.

3. The total group (N = 94) was compared for significance

of differences among the means using the one and two way analyses of variance (fixed effects model with unequal n's in each cell) as the test of significance.

If significance differences occurred among either of the levels, as in the analysis of the Communication scores, Scheffé a priori test of pair-wise comparisons of means were applied to determine where the differences occurred.

Hypotheses V and VI

1. Each of the subjects (N = 94) was described according to the sex variable.

2. Point Biserial Correlation coefficients were calculated between sex and performance of subject on each of the Discrimination and Communication Indices.

3. Significance of resulting correlation was determined according to Ferguson (1959). Minimum 'r' for ' = .05 is .195.

Hypotheses VI and VIII

1. The total IQ score was calculated from the Lorge Thorndike Test of Intelligence, Verbal Battery (Level H) for each of the 94 subjects.

2. IQ score was entered, along with the subjects Discrimination and Communication scores respectively for analysis.

3. Analysis of Verbal Intelligence was conducted separately; that is, a one-way analysis of variance was performed on the IQ scores to determine if performance on the dependent variables (Discrimination and Communication) might be attributable to differences in IQ of the subject.

Hypothesis IX

1. The individual raw scores on the Communication Index as well as the mean communication score for each of the 94 subjects were analyzed with the total Discrimination score of each subject to determine the relationship between performance level of Discrimination and performance level of Communication. Hypothesis IX sought to test whether high Discriminators also tended to be high Communicators.

2. The Pearson Product Moment Correlation coefficient was calculated to determine the degree of relationship between the two variables (regardless of sex).

CHAPTER IV

STATISTICAL TREATMENT AND RESULTS

In order to test the hypotheses, the following analysis of variance models were used for comparing the performance of the various groups on the various criterion measures:

1. Two-way analysis of variance; fixed effects model for unequal observations in each cell (Kirk, 1969).

2. One-way analysis of variance; fixed effects model for unequal observations in each cell (Kirk, 1969).

For the purpose of this study the customary .05 level was chosen as the level of significance.

In order to test the secondary hypotheses, the following analyses were employed.

1. Point Biserial correlation coefficient.

2. One-way analysis of variance; fixed effects model for unequal observation in each cell (Kirk, 1969).

3. Scheffe Multiple Comparisons (a posteriori) Test of Significance.

4. Pearson Product Moment Correlation Coefficient.

RESULTS OF DATA ANALYSES

1. PRIMARY HYPOTHESES

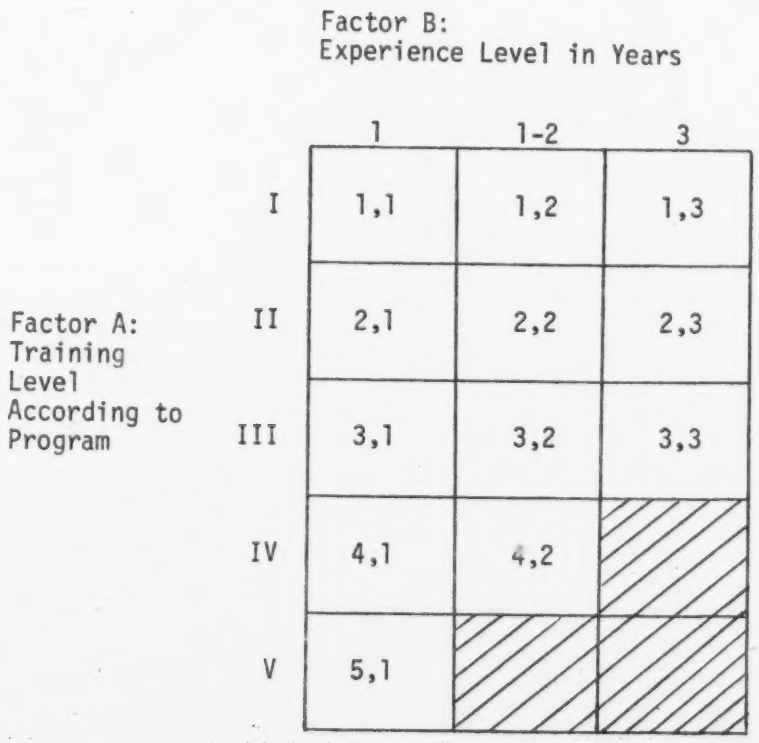
Due to the design of the present study, three of the fifteen cells in the matrix (Figure 3) require no subjects. The reasons being as follows:

(a) The fifth level of the training factor, i.e., row five of the matrix design (students) includes only individuals who are enrolled in the college program (year 1); therefore, experience levels 2 and 3 are vacant by definition.

(b) The fourth level of the training factor, i.e., row four (graduates of college programs) includes only individuals who have been out of college three years or less, as the college program had been in operation less than three years at the time the study was conducted. Similarly category 3 remains vacant also.

FIGURE 3

DESIGN MATRIX



As a result of this research design of the above matrix (Figure 3), the analyses of variance were applied to various possibilities of this design matrix. The Anova summary tables and tests of significance are presented in Tables: 1, 2, 3, 4, 5, 7 and 8.

Summary of Primary Hypotheses Tests:

(a) Hypothesis I is supported (Tables: 2, 3, 5 and 8). There is a significant difference among the groups (according to level of training) in their measured level of performance on the Communication Scale.

(b) Hypothesis II is not supported (Tables: 1, 4 and 7). There are no significant differences among the groups (according to different levels of training) in their measured level of performance on the Discrimination Scale.

(c) Hypothesis III is not supported (Tables: 2 and 5). There are no significant differences among the groups (according to levels of experience) in their measured level of performance on the Communication Scale.

(d) Hypothesis IV is not supported (Tables: 1 and 4). There is no significant difference among the groups (according to different levels of experience) in their measured level of performance on the Discrimination Scale.

DETAILS OF ANALYSIS OF VARIANCE PROCEDURES

A. Two-Way Analysis of Variance (3 x 3 Factorial Design)

A Two-Way Analysis of Variance was performed on the 3 x 3 portion of the design matrix made up of levels 1, 2 and 3 of factor A, and levels 1, 2 and 3 of factor B employing a fixed effects model with unequal observations in each cell. The following analysis was applied to the Communication scores and to the Discrimination scores.

(i) Communication Scale:

The analysis of variance of communication scores indicated a significant difference between levels of training, but no difference among levels of experience (Table 2).

TABLE 2

SUMMARY OF ANALYSIS OF VARIANCE FOR DIFFERENCES IN COMMUNICATION SCORES ACCORDING TO (3) LEVELS OF TRAINING AND (3) LEVELS OF EXPERIENCE

SOURCE	DF	MS	F-RATIO	PROBABILITY
Level of Training	2	996.03	12.09	0.000
Level of Experience	2	20.56	0.25	0.780
Interaction	4	118.79	1.44	0.231
Error	60	82.38		

Scheffé a priori Tests of pair-wise comparisons of means were applied to the level of training means in order to determine where the differences occur.

TABLE 3

SCHEFFÉS MULTIPLE COMPARISON OF MAIN EFFECTS

COMPARISON	CONTRAST ($X_1 - X_2$)	F-RATIO	PROBABILITY
1 - 2	7.99	4.51	.015
1 - 3	13.50	11.85	.000
2 - 3	5.51	2.02	.142

As can be observed from Table 3 a significant difference in performance on Communication Scale scores exists between training level I (Master Degree in Social Work) and Level II (Bachelorate Degree) as well as Level I (Master Degree in Social Work) and Level III (Non-College Trained Professionals). The difference between Levels II and Level III is not significant.

(ii) Discrimination Scale:

The analysis of variance yielded no significant results at the $p = .05$ level of significance (Table 1). That is, neither levels of

training (A main effects) nor levels of experience (B main effects) seem to effect an individual's performance on measured level of Discrimination.

TABLE 1

SUMMARY OF ANALYSIS OF VARIANCE FOR DIFFERENCES IN DISCRIMINATION SCORES ACCORDING TO (3) LEVELS OF TRAINING AND (3) LEVELS OF EXPERIENCE

SOURCE	DF	MS	F-RATIO	PROBABILITY
Level of Training	2	0.23	2.70	0.075
Level of Experience	2	0.19	0.22	0.799
Interaction	4	0.12	0.14	0.968
Error	60	.86		

B. Two-Way Analysis of Variance (4 x 2 Factorial Design)

A Two-Way Analysis of Variance was performed on the 4 x 2 portion of the design matrix made up of levels 1, 2, 3 and 4 of factor A, and levels 1 and 2 of factor B employing a fixed effects models with unequal observations in each cell. The aforementioned analysis was applied to the communication scores and the Discrimination scores.

(i) Communication Scale

The analysis of variance indicated there is a significant difference among the groups in performance on Communication scores according to the (4) levels of training.

TABLE 5

SUMMARY ANALYSIS OF VARIANCE FOR DIFFERENCES IN COMMUNICATION SCORES ACCORDING TO (4) LEVELS OF TRAINING AND (2) LEVELS OF EXPERIENCE

			F-RATIO	PROBABILITY
Level of Training	3	763.56	8.84	.000
Level of Experience	1	0.62	0.00	.933
Interaction	3	28.46	0.33	.804
Error	51	86.37		

Scheffé a priori Tests of pair-wise comparisons of means were applied to the level of training means in order to determine where the differences occur. Table 6 indicates that the differences between Level I (Master Degree of Social Work) and all other levels were significant. The differences among the remaining levels were non-significant (did not meet the p = .05 level of significance).

TABLE 6

SCHEFFE MULTIPLE COMPARISON OF MAIN EFFECTS

LEVEL	CONTRAST	F-RATIO	PROBABILITY
Level I - Level II	11.59	3.68	.018
Level I - Level III	17.40	8.29	.000
Level I - Level IV	12.28	4.13	.011
Level II - Level III	5.81	0.94	.429
Level II - Level IV	0.68	0.01	.998
Level III - Level IV	0.05	0.72	.539

(ii) Discrimination Scale:

The following analysis (Table 4) indicates that no significant

difference in performance on the Discrimination Scale existed among the individual groups, according to the (4) levels of training and (2) levels of experience tested.

TABLE 4

SUMMARY OF ANALYSIS OF VARIANCE FOR DIFFERENCES IN DISCRIMINATION SCORES ACCORDING TO (4) LEVELS OF TRAINING AND (2) LEVELS OF EXPERIENCE

SOURCE	DF	MS	F-RATIO	PROBABILITY
Level of Training	3	0.16	2.30	.089
Level of Experience	1	0.14	1.96	.167
Interaction	3	0.32	0.46	.079
Error	51	0.69		

C. One-Way Analysis of Variance (5 x 1 Factorial Design)

A one-way analysis of variance was applied to the partition consisting of the five levels of training at the first category (Level I) of experience; this analysis was performed in order that the students in cell number 5, 1 of the research design (Figure 1) could be compared to others at a similar level of experience. The Anova was applied to both the Discrimination index data and the Communication index data.

TABLE 7

SUMMARY OF ANALYSIS OF VARIANCE FOR DIFFERENCES IN DISCRIMINATION SCORES ACCORDING TO FIVE LEVELS OF TRAINING AND ONE LEVEL OF EXPERIENCE

SOURCE	MS	DF	F-RATIO	PROBABILITY
Level of Training	0.11	4	1.41	.253
Error	0.08	33		

Discrimination Scale:

Table 7 indicates that the five groups with experience of less than one year did not significantly differ in performance on the Discrimination index.

TABLE 8

SUMMARY OF ANALYSIS OF VARIANCE FOR DIFFERENCES IN COMMUNICATION SCORES ACCORDING TO FIVE LEVELS OF TRAINING AND ONE LEVEL OF EXPERIENCE

SOURCE	DF	MS	F-RATIO	PROBABILITY
Level of Training	4	507.19	6.32	.008
Error	33	80.28		

Communication Scale:

Table 8 indicates that a significant difference does exist among the five levels of training groups in their Communication Scale scores.

Scheffé a priori Tests of pair-wise comparisons of means was applied to determine where the differences occur. Table 9 indicates that the groups which differ significantly from one another, on performance of communication are: (1) Level I (Masters of Social Work) and Level III (Non College Trained Professionals); (2) Level I and Level II (Vocational College Trained) and (3) Level I and Level V (College Trainees in First Year of Program).

TABLE 9

PROBABILITY MATRIX FOR SCHEFFÉ MULTIPLE COMPARISON OF MEANS

		LEVELS				
		I	II	III	IV	V
LEVELS	I		.155	.010	.032	.001
	II			.822	.992	.647
	III				.948	.998
	IV				-	.833
	V					

D. Cell Means for Group Performances on Discrimination and Communication Indices

The following summary tables and graphs show the various group means for all the matrix cells; as well as the plotted cell means are presented for both Discrimination and Communication Performances.

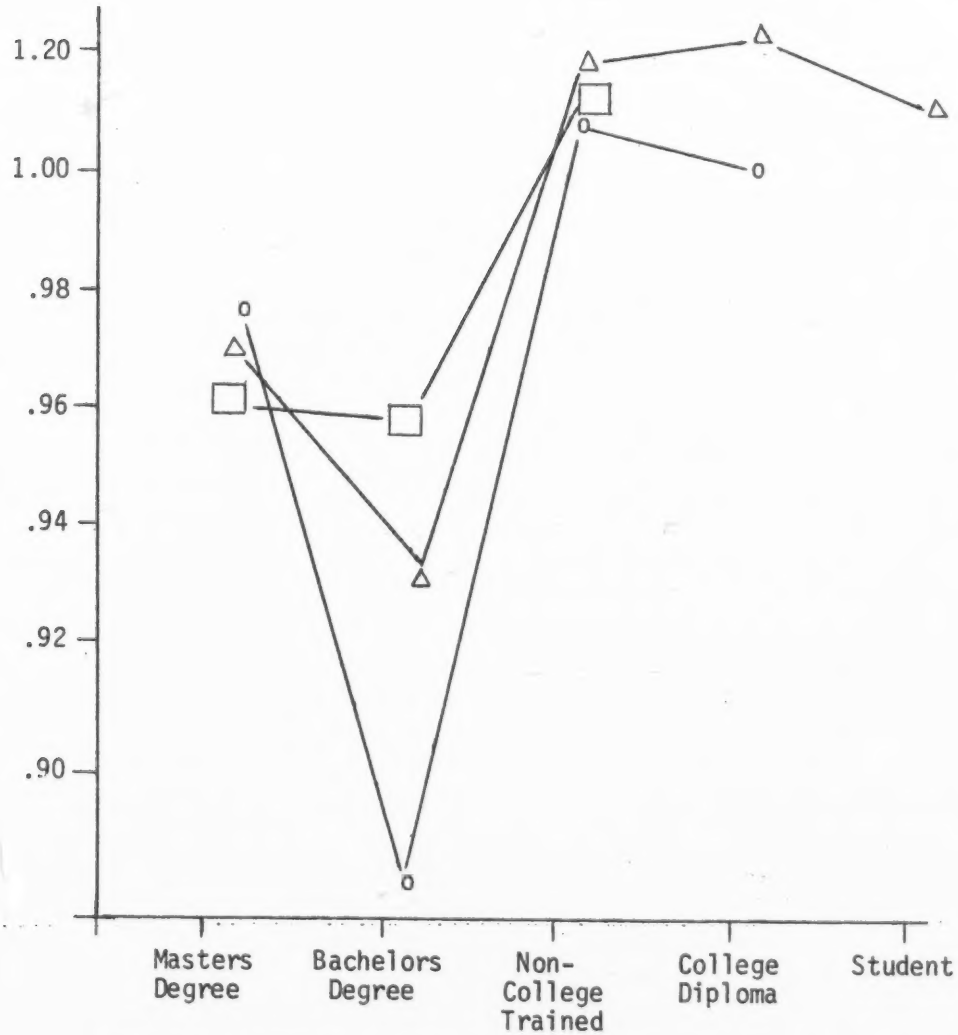
TABLE 10

CELL MEANS MATRIX FOR DISCRIMINATION SCORES

		LEVELS OF EXPERIENCE		
		(1)	(2)	(3)
LEVELS OF EXPERIENCE	I	0.973	0.978	0.960
	II	0.932	0.877	0.957
	III	1.190	1.064	1.109
	IV	1.210	0.995	
	V	1.099		

FIGURE 4

PLOTTED CELL DEVIATION MEANS FOR DISCRIMINATION SCORES
ACROSS LEVEL OF TRAINING FOR
EACH LEVEL OF EXPERIENCE



Experience Level I (One Year or Less) = △
Experience Level II (Two-Three Years) = o
Experience Level III (More than Three Years) = □

Since the scores reported for Discrimination are deviations from the expert rated values, a higher deviation score indicates poorer performance and vice versa.

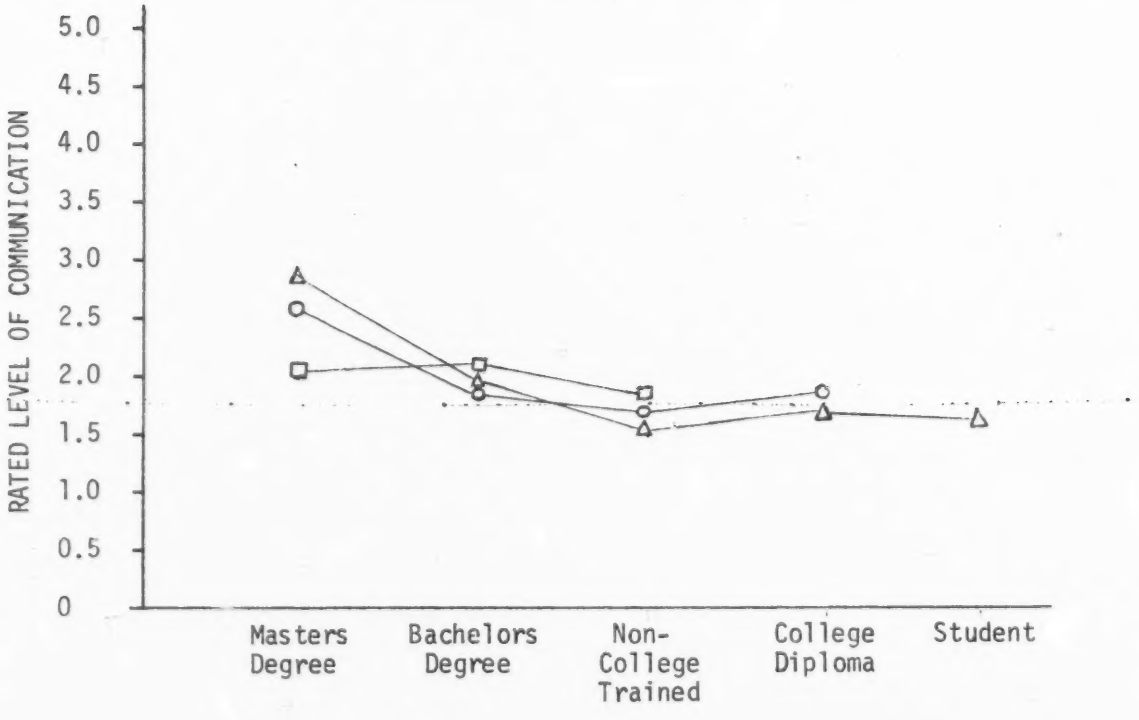
TABLE 11

CELL MEANS MATRIX FOR COMMUNICATION SCORES

		I	II	III
LEVEL OF TRAINING	I	2.76	2.52	2.09
	II	1.93	1.90	2.04
	III	1.53	1.57	1.72
	IV	1.78	1.96	
	V	1.54		

FIGURE 5

PLOTTED CELL MEANS FOR COMMUNICATION SCORES ACROSS LEVEL OF TRAINING FOR EACH LEVEL OF EXPERIENCE



LEVEL OF TRAINING

Experience Level I (One Year or Less) = Δ
Experience Level II (Two-Three Years Experience) = O
Experience Level III (More than Three Years) = □

Figure 5 presents a graphic representation of the group differences between level of training and performance on the Communication Index.

Thus in considering the above analysis of data and inspection of Figures 4 and 5, it becomes apparent that the Discrimination Index does not appear to differentiate on either factors of experience or training; while the Communication Index discriminates level of training only.

II. SECONDARY HYPOTHESES

To test the secondary hypotheses of the relationship of sex of the individual with performance on Discrimination and Communication Indexes, Point Biserial Correlation Coefficients were calculated between the above variables.

(a) Hypothesis V is supported (Table: 12). There is no significant correlation between sex of the individual and measured level of performance on the Discrimination Index.

(b) Hypothesis VI is supported (Table: 12). There is no significant correlation between sex of the individual and measured level of performance on the Communication Index.

TABLE 12

POINT BISERIAL CORRELATIONS FOR SEX AND DISCRIMINATION - COMMUNICATION PERFORMANCE

VARIABLE 1	VARIABLE 2	CORRELATION
Sex	Discrimination	- 0.169
Sex	Communication	0.020

On the basis of Table 12 it is apparent that the correlation coefficient for the variable pairs do not meet statistical significance (minimum 'r' for p = .05, is 195).

Whereas the correlation between sex and the Discrimination Index is not statistically significant (r = -0.169) it appears that the variance shared by the sex and Discrimination Index variables is sufficient to form a factor. The factor analysis (see Table 15 Ancilliary Findings) of all 16 variables used in this study showed that sex and performance on the Discrimination Index loaded on the same factor. Although not significant at p = .05 level, it appears that the males did tend to perform higher on the Discrimination Index than did the females.

To test the secondary hypotheses VII and VIII, a one-way analysis of variance was performed on the Lorge Thorndike Intelligence Test scores.

(c) Hypothesis VII is supported. There is no significant relationship between intelligence and measured level of Discrimination, irrespective of training program or number of years of experience.

(d) Hypothesis VIII is supported. There is no

significant relationship between intelligence and measured level of Communication, irrespective of training program or number of years of experience.

Table 13 indicates that no significant difference in IQ was demonstrated among any of five groups of social workers.

The Verbal Intelligence Quotient variables was considered separately as there was some doubt whether the differences, if any, in performance on the two dependent variables (Discrimination and Communication) might not be attributable to differences in IQ of the subjects. The variable of IQ has been controlled for by showing (Table 13) that there were no significant differences among any of the groups on this variable.

Since the groups did not differ on IQ there was no need to control this variable by resorting to analysis of co-variance. Hence, the analysis of variance model was chosen as an appropriate model for this study.

TABLE 13

SUMMARY ANALYSIS OF VARIANCE OF IQ SCORES OBTAINED ON THE LORGE-THORNDIKE TEST OF INTELLIGENCE (VERBAL BATTERY)

SOURCE	MS	DF	F-RATIO	PROBABILITY
Between Levels	51.75	4	1.06	.382
Error	48.88	89		

III. ANCILLIARY FINDINGS

A. Relationship Between Individual Performance on Discrimination Index with that of Performance on Communication Index

Pearson Product-Moment Correlation Coefficients were calculated between each of the sixteen Communication variables with the total Discrimination score; as well the correlation coefficient between the total Communication score and the total Discrimination score was obtained (Table 14).

TABLE 14

CORRELATIONS BETWEEN THE 16 VARIABLES OF COMMUNICATION AND DISCRIMINATION TOTAL SCORES AS WELL AS CORRELATION BETWEEN TOTAL DISCRIMINATION AND TOTAL COMMUNICATION SCORE

	COEFFICIENT*
Communication Variable 1 with Discrimination Total	-.310
Communication Variable 2 with Discrimination Total	-.401
Communication Variable 3 with Discrimination Total	-.417
Communication Variable 4 with Discrimination Total	-.410
Communication Variable 5 with Discrimination Total	-.371
Communication Variable 6 with Discrimination Total	-.405
Communication Variable 7 with Discrimination Total	-.464
Communication Variable 8 with Discrimination Total	-.248
Communication Variable 9 with Discrimination Total	-.338
Communication Variable 10 with Discrimination Total	-.490
Communication Variable 11 with Discrimination Total	-.457
Communication Variable 12 with Discrimination Total	-.323
Communication Variable 13 with Discrimination Total	-.305
Communication Variable 14 with Discrimination Total	-.375
Communication Variable 15 with Discrimination Total	-.478
Communication Variable 16 with Discrimination Total	-.404
Total Communication score variable with Total Discrimination Variable:	r = -.515

* For df = 92, r = .205 is significant at the .05 level.

As evidenced in Table 14 there is a significant correlation between how subjects performed on the Discrimination Index and their

respective performance on the Communication Index. That is subjects who performed well on the Discrimination Index would also score well on the Communication Index.

Since the Discrimination score is a measure of deviance from the perfect or expert-rated score, this means that individuals with high Discrimination scores in fact deviated far from the perfect score, hence the negative correlation between the Discrimination and Communication score.

In other words, the correlation is interpreted such that individuals with high total Communication scores tend to have low Discrimination scores (regardless of sex). This indicates that individuals who scores closer to the ideal Discrimination value obtained higher Communication Scores.

B. Instrument Factor Analysis of the 16 Communication Variables, Discrimination Index and Sex

The 16 Communication scores, Discrimination and sex were factor analyzed to assess the dimensionality of the variables used in this study.

From Table 15 it is apparent that two instrument factors were obtained, both of which are unrelated to sex; a third factor had loadings of sex and Discrimination, indicating some shared variance among these two variables. None of the Communication Index variables loaded on this factor (See further discussion of sex variable and factor analysis: II. Secondary Hypotheses).

Further inspection of the instrument factors reveals that the factors are not unifactors; there is considerable overlap in the form

of complex loadings and, therefore, one might be justified to include these variables into a single instrument for estimating Communication skills. It appears as though there is one general broad factor being measured; hence, the total Communication score (Table 15) is an acceptable indicator of both factors in 1 and 2, which is being measured by the testing instrument.

TABLE 15

VARIMAX FACTOR TABLE FOR 16 COMMUNICATION VARIABLES, DISCRIMINATION TOTAL AND SEX

	VARIABLE	COMMUNALITIES	1	2	3
COMM. VARIABLE	1	0.522	0.306	0·652	0.056
	2	0.671	0.732	0.363	-0.065
	3	0.636	0.731	0.300	-0.111
	4	0.813	0.855	0.275	0.081
	5	0.596	0.344	0.690	0.041
	6	0.573	0.637	0.400	-0.086
	7	0.773	0.834	0.224	0.166
	8	0.529	0.488	0.500	-0.201
	9	0.483	0.260	0.644	-0.016
	10	0.764	0.798	0.308	0.180
	11	0.797	0.820	0.347	0.071
	12	0.623	0.408	0.672	0.069
	13	0.526	0.175	0.698	0.091
	14	0.726	0.808	0.270	0.027
	15	0.757	0.742	0.454	0.017
	16	0.656	0.695	0.404	0.095
DIS. VAR.	17	-0.452	-0.429	-0.310	-0.415
TOTAL COMM. VARIANCE	18	0.998	0.809	0.585	0.038
SEX	19	0.857	-0.025	-0.011	0.925

CHAPTER V

DISCUSSION AND IMPLICATIONS FOR FUTURE RESEARCH

DISCUSSION OF RESULTS OF HYPOTHESIS TESTING

The data supported the initial primary hypothesis that in comparison of the performance of various groups of social workers (grouped according to type of background training) there were significant differences in their measured levels of communication of facilitative conditions.

This finding adds support to the contention that ability to provide facilitative behavior within the context of the helping relationship is related to level and/or type of educational or training background of the helping person -- in this case, the social worker. Further it was found that social workers with graduate training in social work performed significantly higher, on the criterion measure, than did the other four groups (those with a Bachelors degree, community college diploma, non university / college training and first year trainees). Excluding the group with graduate training, the findings appear to support the recently, not uncommon, view of counselor and social work educators and researchers; that is, certain performance aspects considered necessary for the helping relationship do not appear peculiar to those with specified types of training program. The finding that Bachelors trained social workers did not perform significantly better than community college trained graduates, or those with intermediate training or behavioral variables held to be a necessary condition for social work functioning, has important implications

for agencies relying on level of training as the only criterion for selection.

Students in the first year of social service training were found to not differ significantly from those with undergraduate or community college training. Focusing on facilitative functioning ability, such a finding is not different from evidence provided by Carkhuff and Berenson in comparison studies with trainees with graduates (1967).

The hypothesis that performance on Communication ability by the sample, when compared across the levels of experience, was not supported which suggests that experience as a predictor variable is less related to facilitative functioning effectiveness than hypothesized (Carkhuff, 1969).

While the hypotheses that performance on discrimination ability of facilitative conditions would reveal significant differences across levels of training and experience was not supported some interesting findings emerged from the investigation of the sex variable and the relationship between Discrimination and Communication scores within the individual. It appears that sex is not an unrelated variable to performance on the criterion measures. Although the correlation ($r = -.169$) was not significant at the $p = .05$ level of significance, the observed estimate suggests a tendency for males to perform higher on the Discrimination Index, than did females. This finding is of particular interest, and suggests further research is needed, as the weight of evidence which is available regarding sex differences associated with other related variables has suggested that females tend to be more accurate discriminators of interpersonal variables than males (Cline, 1960).

Findings of the present study indicated the differences between the groups on the dependent variables were not due to differences

in verbal intelligence, which appears consistent with the findings of comparisons of graduate trainees and lay personnel (Truax and Carkhuff, 1967).

Since the present study set out to investigate the relationship between specific variables and to provide information about selected performance aspects of the products of different training and educational programs developed for the preparation of social workers, the study is exploratory and comparative in this context. That is, further research is required to experimentally investigate the variables (experience and training) with performance on the criterion indices to determine the nature of a causal relationship. The contribution of the present study lies with having indicated certain prior conditions which appear to be correlated with the dependent variables. Additionally the correlational data provided about the relationship between the two dependent variables reveals implications for the theoretical model from which the variables of Communication and Discrimination are an extension, as well as in terms of research vis-a-vis selection, instrumentation and essentially the question of predictive validity.

The results of the study have implications for counselor preparation and practise, in addition to the initially stated concerns and questions regarding the role aspects of the social worker attended to in the present study. Discrimination and Communication of basic facilitative conditions, as examined in this study have particular relevance for the teacher in the classroom as well as teacher education, and to a limited extent to all professional services necessarily dependent upon effective human relations.

A. Communication of Basic Facilitive Conditions

As indicated earlier, hypotheses I and III revealed that a significant difference in performance on the Carkhuff Communication Index was found. Social workers demonstrated differential performance levels on the criterion measure when grouped according to type of training or educational background. Considering the differences, it is observed that the social workers with graduate training (MSW) scored significantly higher than any of the other levels, with the exception of the Bachelors trained social workers when compared across the one year or less of experience categories. The remaining four levels of social workers did not differ significantly among themselves. Stated differently, it appears that those from programs other than graduate programs are functioning at the same level of communication ability regardless of length of time or experience in the field, the exception being that the Masters trained students were not functionally different in their level of performance from Bachelors trained personnel when assessed and compared with the minimum level of experience classification. It is interesting to note that when compared at the minimum level of experience (one year or less) there was a difference, yet comparing the same two groups across all levels of experience they appear to come from the same population.

The findings are not consistent with those of Truax and Carkhuff (1967) who determined that graduate trained personnel were found to be less communicative of facilitative conditions than persons with sub professional, intermediate or beginning trainee status. The samples were taken from counselor personnel at the various levels.

Conversely the present findings were somewhat consistent with the

findings of Minde et al (1971) who found that the untrained social workers scored significantly inferior to MSW Social Workers on the personality characteristics related to effective social work skills. Also Minde found that the untrained social workers were judged by supervisors to be less effective clinicians than trained (graduate) social workers. The subjects in the Minde study were not unlike those in the present study in terms of the role activities attended to in their work.

It is interesting to note that individuals with undergraduate training are not functioning at different levels of facilitative behavior from the community college graduate or the non-professionally trained. This is a positive finding in terms of the expected goals of applied training programs of social service education. Thus, there was no difference among the groups whether university, college or non-university/college trained. That is, personnel with no formal training were performing as well on the Communication Index as individuals with Bachelors degrees. Likewise graduates of community colleges in this study functioned as well as university trained personnel with bachelors degrees.

The findings of performance differences when comparing MSW personnel with the other four groups is positive in light of the extensive length of training required at the graduate level. Possibly the emphasis on both academic and casework practicum activities are related in an additive sense to level of Communication performance with the MSW subjects. In the present study it was observed that the graduates of the indicated colleges were significantly different than the graduate group, and this is not consistent with the expectations at the college level (McLellan, 1968 and Anthony, 1968).

Since much of the literature (Carkhuff, 1969 and Carkhuff and

Berenson, 1967) predicted that trainees would perform as well or better than graduates of specified training programs it is important to consider that many of the research studies conducted tended to involve only lay trained and trained personnel. Many of the comparative studies carried out did not involve products of graduate training programs - often undergraduate only. Although not consistent with the Carkhuff contention of lowered functioning level of the graduate student, (a function of graduate training), the present findings tend to reflect the findings of Boy & Pine (1968) who, in a similar design to the present research project, conducted a cross-sectional study across level of training, and on not dissimilar criterion scales found that functioning level of the sample groups increased with graduate training. However, differences between individuals of less than graduate training were not significant. Given this consideration, in addition to those mentioned earlier, the performance level of the MSW personnel was not unexpected.

It is important to note, exclusive of the graduate trained personnel, the functioning levels indicated no differences at the accepted level of significance. The findings at this level of comparison lend support to studies of others comparing trained and untrained workers; i.e. graduates of university programs were not more effective than first year freshmen (Bergin & Solomon, 1963; Melloh, 1964; Baldwin and Lee, 1966; and Carkhuff, 1969).

The findings of differential functioning on the criterion measures in the direction of favouring the graduate trained worker are to be expected according to Armitage (1971). According to the above mentioned author, "there will be a difference between the

types of competence shown by graduates of the different levels of social service education (p. 182)." The grounds for the assumption are that there should be a difference between the results of a 4-6 year period of university, post-high school education and the results of a 1-3 year period of non-university, post high-school education.

It may be that the differences observed between the graduate trained and the non graduate school tained are "that the university programs are more agreed amongst themselves as to their objectives, and are more experienced in providing social service education (Armitage, 1971, p. 183)."

The fact that differences occurred in the groups across training differences but not differences in experience tends to add support to the findings of others, e.g. Minde (1971) who found that length of work experience along with age was not related to on the job effectiveness. Also concurrent with findings of the present study have been comparative studies in the field of counseling (Strupp, 1960; Carkhuff and Truax, 1965; Truax and Carkhuff, 1967). However, when compared with the studies focusing on level of functioning of experienced and non-experienced, others such as Mullen and Abeles (1970) and Abeles (1962) found results favoring the experienced worker. The research evidence regarding the experience variable and its relationship appears, at present, both inadequate and contradictory (Plowman, 1967 and Cannon and Carkhuff, 1969). Although it is extremely hazardous to speculate about the lack of group differences according to experience and inexperience, it is worthwhile to note a slight trend towards higher mean functioning appears to occur with the non experienced. Perhaps comparison on related experience is

less easy to control for than training level and background. Ideally, future research could involve experimental manipulation of the experience variable, although time periods with specified characteristics would be difficult to establish.

B. Discrimination of Basic Facilitative Conditions

As evidenced by the testing of hypotheses II and IV, measured level of performance on the Carkhuff Discrimination Index was not found to be significantly different across the various levels of training.

Although the differences in the groups were significant at the .09 and .07 level on the first two tests of significance, the .05 level of significance was not achieved. Direction to the trend, however, is given by inspection of the group means (Table 10). It is observed that the group means on Discrimination rank in ascending order from level IV (college-trained) to level I (MSW trained). Although not significant, it appears that the significant differences observed in Communication scores are also reflected in the various group performances according to measured level of Discrimination. Such a mirroring in trend of the Discrimination scores is further supported in the investigated relationship between Discrimination and Communication, discussed later in the Ancilliary Findings.

The trend in performance of mean discimination suggests that further research must be conducted into discimination ability and in what way or to what degree this ability is related to Communication ability. The findings presented from the testing of Hypothesis IX seem to add support to the findings evidenced in the trend of group Discrimination scores.

It appears that Discrimination ability is less related to training than Communication, on the basis of this study. Carkhuff (1969a) may have

a possible explanation in that the Discrimination of facilitative behaviors "is a more passive phenomenon and Communication is a more active one (p. 84)."

The findings of the present study are similar to an earlier study conducted by Conklin (1968). It was found that in the area of discrimination ability, counselors with more experience did not score significantly different on specific judging accuracy measures than those with less experience.

It may be that Discrimination performance described by Carkhuff is not dissimilar to other interpersonal accuracy skills, and hence may be less related to experience or education, but possibly is more a function of specific cognitive styles, e.g. open mindedness or perceptual accuracy. Level of research to date has not sufficiently established whether discrimination can be successfully taught.

Considering Discrimination performance and training or educational background, it is worth comparing the findings of the present study with studies in the area of interpersonal perception, as the latter ability is clearly related to the Discrimination ability specified by Carkhuff. Sawatzky (1968) conducted a study employing graduate and undergraduate students whose task was to discriminate among both visual and verbal cues. No differences on the film tests with the students of differing educational levels were found.

Employing the discrimination of interpersonal sensitivity measures to counselors who were divided according to training level, Conklin (1968) found that there was no differential effects on interpersonal judging accuracy when type of training was considered.

C. Sex and Performance on the Communication and Discrimination Indices

The lack of a significant correlation between each of the interpersonal variables and sex showed no support for hypotheses V and VI.

Hypothesis V postulated a significant correlation between the variables of sex and the criterion measures of Discrimination and Communication, and testing of that hypothesis revealed that, to a small degree, a relationship was evidenced, but not at a significant level. Thus it would appear that had the absolute value of correlation between sex and the criterion measure been high enough ($> .195$), then consideration of sex as a predictor variable of level of helper offered conditions would have been more probable. Although the test of correlation was not significant at the specified level for Communication and sex ($r = .020$) and it was found that for Discrimination and sex $r = .169$ (minimal level for significance was .195), the factor analysis revealed that the variance shared by the sex and Discrimination Index variable was sufficient to form a factor. The factor analysis showed that sex and performance on the Discrimination Index loaded on the same factor, implying that males may perform higher on this variable. This finding suggests a difference from the results obtained by Conklin (1968), Sawatzky, (1968) and Carkhuff and Berenson (1967) who found that if any differences existed at all, females were higher. Conklin (1968) maintained that females were more perceptive of verbal cues in a variety of social situations.

The finding, though not significant, is interesting in light of the theory, as well as pointing to future research in the area of sex differences. According to Carkhuff and Berenson (1967) the facilitative conditions specified by the theoretical model tend to be more specific to social responses of the female role. Hence findings in the other

direction or none at all would be less surprising than the present results. Although the findings of Cline (1964) indicated women were slightly higher, the differences were not significant.

D. Intelligence and Performance on the Communication and Discrimination Indices

As evidenced by hypotheses VII and VIII there was no significant difference among the groups on measured verbal intelligence.

Intelligence is often considered the predictor variable via scholastic aptitude and success, and in the area of functioning level of facilitative behavior the evidence is uncertain regarding a functional relationship between the two variables. According to Carkhuff (1968) the professional training programs are dominated by highly intellective indices of selection, primarily grade point average (G.P.A.), complimented by Graduate Record Examination performance. Although a relationship has been suggested between intellective indices and level of functioning, other findings show that the two variables do not covary within a broad, but restricted, range of intelligence. To determine if a relationship existed, the analysis of variance test of differences was carried out on verbal I.Q. scores. Since the groups did not differ significantly on I.Q., but did on the Communication index, it would appear that intelligence would not be valid predictor variable of success, at least in the area of facilitative conditions. The present findings are consistent with other theoretical bases and findings of Truax and Carkhuff (1967).

If intelligence is not related to expertise (beyond a necessary level) in this area of interpersonal functioning, the implications are important, not only for continued research on this variable, but also for selection and training as well. As Truax and Carkhuff have pointed out

(1967), most selection and admission criteria involve intellective criteria. Thus future research is necessary to determine the predictive validity of such selection requirements by employing basic experimental designs with follow-up assessment.

As the non-graduate trained personnel were not significantly different from the graduate (MSW) trained group, it appears that the non-graduate trained are competing successfully (in terms of performance on criterion measures) with the upper percentile of the population on the intelligence variable. This is not, too surprising since the standards and requirements of the non-graduate school programs for social work preparation are necessary. Earlier in the initial stages of program development, such findings would be less likely.

E. Minimal Levels of Facilitative Conditions

Admittedly, this study was not designed to compare social workers with other categories of helpers; however, it is interesting to note, when we consider the data (although based; to a large extent, on poorly designed studies provided by Carkhuff, 1969a) describing level of functioning of other professional groups (e.g. Ph.D.'s in clinical or counseling psychology), it becomes apparent that, in general, social workers perform about as well on the criterion measures.

None of the groups examined in the present study achieved a 3.0 level of functioning, held by Carkhuff to be necessary for minimal effectiveness. The indicated author maintained that if the helper is providing the facilitative conditions at a measured level of less than 3.0 across all dimensions a subtractive or detracting effect occurs in the relationship results.

However, this cannot be indicative of inferior ability, as the

evidence suggests the 3.0 level is rather arbitrary. It can, although, be reasonably argued that it would be better for helping personnel to function at 'high' rather than 'low'levels; but there is little support for advocating adoption of the 3.0 level of a cut off point, rather than, say, 2.5 or 3.5. Further research needs to explore this issue. In the event that the minimal level of effectiveness is demonstrated to be 3.0, it would imply that all helping professions that have been explored would benefit from further training.

Although this study showed that the graduate trained social workers are statistically more facilitative (as measured by the Carkhuff Discrimination/Communication Indices) than any of the other groups, it cannot be concluded that they are functionally more effective in terms of client improvement. It is expected that this would be the case because, as discussed in Chapter II, scores on the specified indices are fairly well correlated with counselor effectiveness; however, the only true test of this conclusion would be to actually measure and compare client improvement of all fine groups (such an undertaking is an interesting possibility for future research). It is possible however to say that the groups are different in terms of the probability of providing differential levels of facilitative expressions in the casework helping relationship.

F. The Relationship Between Communication and Discrimination

The correlation between performance of Communication and Discrimination was significant at the $p = .01$ level indicating a linear relationship between the variables. The correlation, when interpreted as the degree of relation, is relatively impressive; however, it is less so

when one is concerned with estimating on variable (Communication) from knowledge of another - in this case Discrimination. The findings have implications for the predictive validity of the Discrimination Scale in selecting high Communicators. The predictive validity is $r = -.515$. Interpretation of this estimate of the 'r' indicates there is a tendency for Communication performance to increase for an individual as Discrimination performance increases and vice versa. The present findings are not supported by the previous work of Carkhuff (1969).

Such findings, considered in conjunction with further research, may have direct implications for selection of persons who are functioning at various levels of interpersonal effectiveness.

II. ANCILLARY FINDINGS

The evidence for validity and reliability of the instrumentation appears established and acceptable (Chapter III); however, the investigator was interested in further examining the nature of the principle components being assessed on the basis of the Discrimination and Communication Indices. Instrument Factor Analysis was applied to the 16 Communication Variables, the Discrimination Index and Sex. Such information might increase the evidence surrounding the construct validity of the instrument. The fact that two instrument factors were obtained suggests there are two underlying constructs which relate to performance on the observable Communication Index score, and to a lesser extent are related to the Discrimination Index score. Of course since this analysis was not one of the a priori purposes of the study, it still remains to identify and name the two factors. Future research along the lines of factor analysis would allow estimating the scores on the Communication and Discrimination scales from knowledge of the underlying variables or

constructs.

In addition, the third factor indicated loadings on Discrimination and Sex which suggests that the variance shared by these two variables indicates that males tended to perform higher on Discrimination than did females. This relationship requires further investigation with greater populations, as the correlation evidenced in hypotheses VIII was not significant; however, the factor analysis of the variables suggests a possible relationship.

Finally, the factor analysis showed that there was considerable overlap among the factors, hence the total Communication score appears an acceptable indicator instrument.

III. CONCLUSIONS AND IMPLICATIONS FOR FUTURE RESEARCH

Research has been needed and still is required in the area of the helper (counselor or social worker) and his behavior vis-a-vis the interview situation and, subsequently, the relationship of this counselor behavior and outcome effectiveness. This study makes a contribution related to the above in that the study sought to provide information about level of functioning on the facilitative behavior dimensions (specified by Carkhuff) of various identified products of the specified training programs. Since the study was exploratory and descriptive in design -- its purpose was to advance the information regarding the relationship between performance on the criterion measures (Discrimination and Communication) and level of training and experience with these behavioral characteristics of the counselor.

Also, information has been provided about the relationship between sex and performance. Replication of the study is suggested with the

involvement of trainees of each of the four levels of training as well as the experienced. Following from that it would seem that to determine a causal effect from training to performance and experience, an experimental pre-post treatment design would be necessary.

As indicated earlier, the evidence provided regarding minimal level of functioning is not, in the view of the author, complete. It would seem that the information regarding overall level of functioning on the criterion measures cannot have useful meaning until the norms have been empirically established for this particular population in terms of effectiveness of social work outcome.

Although it is possible to compare performance of social workers from this study with other professionals, e.g. nurses, teachers, etc., direct interpretation is difficult across studies. Future investigation would benefit from establishing direct comparisons across helping professions.

In addition to the above mentioned limitations, another lies in the difficulty in controlling precisely the criteria of training level and experience. Further research might carry out a study where gross differences in the two variables could be precisely examined both qualitatively as well as quantitatively. Since the present study employed a nominal classification for training, future research might use ordinal scaling to achieve greater precision.

To move from the exploratory phase of having demonstrated prior conditions and performance on the criterion measures, experimental research, wherein the two variables could be manipulated, would be necessary to determine the extent of the functional or causal relationship between the predictor variables. On the basis of the present study, it

was observed that the products of various training programs performed differentially on selected performance aspects of interpersonal functioning, (having controlled for the variables of experience, sex, and intelligence), thus suggesting a prior condition related to performance may be type or level of training. There is no reason, on the basis of the present study to suggest a relationship exists between criterion performance and experience.

The author has determined a difference in the sample when divided according to training level which suggests a relationship between the variables; however, due to the design, objectives and instrumentation of the study the author is not suggesting estimating performance ability from knowledge of training, nor is he implying a causal relationship. In order to determine the type of relationship between training programs, along with other variables, it would be necessary to design research along the experimental lines already indicated.

Whether differences in performance are a function of situational or selection factors rather than of training effects can only be totally resolved by employing an experimental design in which subjects are randomly assigned to various training programs, pre- and post-tested after a specified period of time and subsequently traced with a follow-up assessment. This would be an NB recommendation for future research in order to answer this question more completely. The present study focused only on the products of various training programs. It is, however, the author's contention that the differences in measured levels of performance are more likely a function of training than of selection. Truax and Carkhuff (1967) have produced evidence demonstrating that most

selection criteria for admission to graduate schools are intellective, rather than interpersonal ones.

Thus, although the generalizations from the present study are limited, the study does suggest the variable of training must be examined more closely than in the past as a related variable to facilitative interpersonal functioning. More specifically, this has implications for the Alberta social work training programs.

Given the findings of differences between the M.S.W. personnel and the other four non-graduate trained groups would add support to the contention that in order to improve and further strengthen programs offered by the non-graduate programs, the Department of Social Welfare, at the University of Calgary has initiated a program of in-service training for social workers at various centres in Alberta. Thus direct benefits from the graduate programs are able to be translated to the personnel of other training programs.

The performance aspect of the social worker focused on in this study (Communication and Discrimination) is one important component activity for effective functioning in the social work role. Although one cannot predict total effectiveness on the basis of knowledge of just one variable, it appears that the provision of specific facilitative behaviors is a necessary, but not sufficient, condition for helper (social worker) effectiveness. That is, high proficiency functioning on other variables related to role effectiveness would necessarily have to exist to provide overall social worker effectiveness. The information obtained from the present comparative study has indicated the functioning level on specified interpersonal variables, demonstrated necessary for the social

worker to be effective. Future research is needed and should follow the present investigation's comparative approach with intent to study level or degree of existence of these other specified variables, also related to competence, e.g. problem solving or decision making abilities, knowledge and skill level of therapy or counseling systems, analysis and synthesis performance (Kinanen, 1971 and Armitage, 1971). Before further research is possible of a comparative type vis-a-vis these 'other' indicated variables, greater agreement is needed on which of these 'other' variables characterize competence in the social worker. The functions under examination cannot be described and differentiated in a way that commands wide spread agreement. Not only are studies to evaluate competence across differentially trained groups going to be difficult, but also any assertion of competence can be negated by indicating that some particular behavioral aspect should or should not have been included (Armitage, 1971).

A final consideration which relates to future investigation as well as social work effectiveness, has to do with the question of social work and administration. It is interesting to consider that those with graduate training would also be highly effective administrators. Leading from this, further research might compare personnel who are high functioning (in terms of the Carkhuff Indices) with those who are low functioning on administration effectiveness. This would seem to be an important question, as conventionally it is those who possess M.S.W. training who are the individuals selected for administrative functions.

One important implication of this study has to do with trainee supervision in the field. It is necessary for the personnel who teach others how to provide high levels of facilitation; to be functioning at

high levels themselves (Carkhuff, 1969). Therefore the M.S.W.'s would seem to be the most logical candidates to undertake this teaching and supervisory role. Such a function could conceivably be accomplished through the vehicles of inservice training programs and supervised practicums.

The major value of the present study is that it relates directly to a characteristic believed to be necessary for effectiveness of all social workers. Theoretical positions and available evidence provided by the social work profession indicated, that among all of the components necessary for competence, consensus is highest that interpersonal skills constitute the most primary and essential characteristics of the social worker (Halmos, 1966; Craig, 1971; and Truax and Carkhuff, 1967).

Not only has research into the interspersonal variables in general been sought after, but specifically the dimensions assessed by the Carkhuff model appear more appropriate to the social work relationship. For example, in development of a training model in helping social workers to become effective helping people, Craig (1971) concluded:

> The challenge to us now is to face the results of recent research concerning the nature of helping relationships. It is not known that no matter how elaborate the training or experience, unless we have and are able to provide the core relationship ingredients of warmth, empathy, and genuiness, our helping is ineffective or perhaps even harmful (p. 153).

For Kinanen, the criterion measure of Discrimination and Communication (Carkhuff) reflect and account for the greatest proportion of the social worker required ability. According to Kinanen (1971), the three basic kinds of competence that are needed in social work are: (a) analytical (b) decision making and (c) interpersonal. Having specified and operationalized the three major skill areas the author, having studied the discrimination and communication dimensions according to Carkhuff,

has postulated that discrimination is synonomous with the analytical skill and communication with the interpersonal domain, separated above. This comparability is even more significant to the findings of the present study when it is acknowledged that the Canadian Welfare Council's report on personnel in 1964 recognized the three categories as descriptive of the social work function.

This study is viewed as one of the several necessary studies which are required to explore and investigate certain aspects of social worker functioning and educational or program backgrounds. Also the study bears relationship to the degree of validity of certain assumptions needed to be further tested. The results of the present study, although specific to only the interpersonal component, having according to Kinanen (1971) direct value to testing an important and recently pervasive belief that "graduates of these programs (community college and undergraduate) are just as effective as the graduates from post graduate programs, for giving sufficient competence for beginning social work practice.(p. 186)."

According to social work educators like Armitage (1971), research to assess the degree of skill present from graduates of differing educational programs is necessary for determining the efficacy of the various professional and subprofessional programs emerging at present. Armitage (1971) has addressed himself specifically to this question, and has pointed out the dramatic increase in social work manpower over the last five years. According to the Canada wide survey, the total annual output of social services has increased 500 percent. Not only has there been a significant increase in gross numbers, but also in the number and levels of social service education. It is in reflection to such evidence that Armitage (1971) has called for research into determining what are the

competence levels in various task areas of the graduates of these several training levels. Further, the question of "who is competent for what?" is dependent on extensive investigation of this question.

Until studies, not unlike the present one, along with other related studies have been carried out, the confusion regarding the competence of variously educated social workers will remain (Kinanen, 1971) along with the ramifications resulting from this confusion in terms of training and employment considerations.

The relevance of the present investigation to the crucial questions surrounding competence and training and implications for future research is best summarized by Kinanen. "I also suggest that until clearer correlation between different educational programs and social work competence is established we should not lock differentially educated social workers into arbitrarily determined status positions in social work hierarchy, but allow for a variety of experimental programs to emerge in which the competence of the workers will be tested in cooperation with and in contrast to differentially educated workers (1971, p. 188)."

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APPENDIX A

Descriptive Data Information Sheet

Descriptive Data Information Sheet

1. Training/Educational Background beyond High School (if applicable, please indicate all degrees, diplomas, certificates, etc.)

_____

_____

_____

_____

2. Related experience (please indicate length of social work experience or other work experience related to social work; please specify)

_____

_____

_____

_____

3. Sex of Respondent:

Male ☐ Female ☐

APPENDIX B

Carkhuff Communication of Helper Responses To Helpee Stimulus Expressions

Carkhuff Communication of Helper Responses

to Helpee Stimulus Expressions

DIRECTIONS

The following excerpts represent 16 stimulus expressions; that is expressions by a helpee of feeling and content in different problem areas. In this case, the same helpee is involved in all instances.

You may conceive of this helpee not necessarily as a formal client but simply as a person who has come to you in time of need.

We would like you to respond as you would if someone came to you seeking assistance in a time of distress. Write down your response after the number 1. In formulating your responses keep in mind those that the helpee can use effectively in his own life.

In summary, formulate responses to the person who has come to you for help. The following range of helpee expressions can easily come in the first contact or first few contacts; however, do not attempt to relate any one expression to a previous expression. Simply try to formulate a meaningful response to the helpee's immediate expression.

Date_____

Excerpt 1

HELPEE: Gee, I'm so disappointed. I thought we could get along together and you could help me. We don't seem to be getting anywhere. You don't understand me. You don't know I'm here. I don't even think you care for me. You don't hear me when I talk. You seem to be somewhere else. Your responses are independent of anything I have to say. I don't know where to turn. I'm just so—doggone it—I don't know what I'm going to do, but I know you can't help me. There just is no hope.

1. RESPONSE: _____

Excerpt 2

HELPEE: Who do you think you are? You call yourself a therapist! Damn, here I am spilling my guts out and all you do is look at the clock. You don't hear what I say. Your responses are not attuned to what I'm saying. I never heard of such therapy. You are supposed to be helping me. You are so wrapped up in your world you don't hear a thing I'm saying. You don't give me the time. The minute the hour is up you push me out the door whether I have something important to say or not. I—ah—it makes me so God damn mad!

1. RESPONSE: _____

Excerpt 3

HELPEE: They wave that degree up like it's a pot of gold at the end of the rainbow. I used to think that, too, until I tried it. I'm happy being a housewife; I don't care to get a degree. But the people I associate with, the first thing they ask is where did you get your degree. I answer, "I don't have a degree." Christ, they look at you like you are some sort of a freak, some backwoodsman your husband picked up along the way. They actually believe that people with degrees are better. In fact, I think they are worse. I've found a lot of people without degrees that are a hell of a lot smarter than these people. They think that just because they have degrees they are something special. These poor kids that think they have to go to college or they are ruined. It seems that we are trying to perpetrate a fraud on these kids. If no degree, they think they will end up digging ditches the rest of their lives. They are looked down upon. That makes me sick.

1. RESPONSE: _____

Excerpt 4

HELPEE: It's not an easy thing to talk about. I guess the heart of the problem is sort of a sexual problem. I never thought I would have this sort of problem. But I find myself not getting the fulfillment I used to. It's not as enjoyable—for my husband either, although we don't discuss it. I used to enjoy and look forward to making love. I used to have an orgasm but I don't any more. I can't remember the last time I was satisfied. I find myself being attracted to other men and wondering what it would be like to go to bed with them. I don't know what this means. Is this symptomatic of our whole relationship as a marriage? Is something wrong with me or us?

1. RESPONSE:

Excerpt 5

HELPEE: I'm so pleased with the kids. They are doing just marvelously. They have done so well at school and at home; they get along together. It's amazing. I never thought they would. They seem a little older. They play together better and they enjoy each other and I enjoy them. Life has become so much easier. It's really a joy to raise three boys. I didn't think it would be. I'm just so pleased and hopeful for the future. For them and for us. It's just great! I can't believe it. It's marvelous.

1. RESPONSE:

Excerpt 6

HELPEE: I finally found somebody I can really get along with. There is no pretentiousness about them at all. They are real and they understand me. I can be myself with them. I don't have to worry about what I say and that they might take me wrong, because I do sometimes say things that don't come out the way that I want them to. I don't have to worry that they are going to criticize me. They are just marvelous people! I just can't wait to be with them. For once I actually enjoy going out and interacting. I didn't think I could ever find people like this again. I can really be myself. It's such a wonderful feeling not to have people criticizing you for everything you say that doesn't agree with them. They are warm and understanding and I just love them! It's just marvelous.

1. RESPONSE:

HELPEE: I love my children and my hu nd and I like doing most household things. They get boring at times but on the whole I think it can be a very rewarding thing at times. I don't miss working, going to the office every day. Most women complain of being just a housewife and just a mother. But then, again, I wonder if there is more for me. Others say there has to be. I really don't know.

7.

1. RESPONSE:

Excerpt 8

HELPEE: *Silence. (Moving about in chair)*

1. RESPONSE:

Excerpt 9

HELPEE: I'm really excited the way things are going at home with my husband. It's just amazing. We get along great together now. Sexually, I didn't know we could be that happy. I didn't know anyone could be that happy. It's just marvelous! I'm just so pleased, I don't know what else to say.

1. RESPONSE:

Excerpt 10

HELPEE: I get so frustrated and furious with my daughter. I just don't know what to do with her. She is bright and sensitive, but damn, she has some characteristics that make me so on edge. I can't handle it sometimes. She just—I feel myself getting more and more angry! She won't do what you tell her to. She tests limits like mad. I scream and yell and lose control and think there is something wrong with me—I'm not an understanding mother or something. Damn! What potential! What she could do with what she has. There are times she doesn't need what she's got. She gets by too cheaply. I just don't know what to do with her. Then she can be so nice and then, boy, she can be as ornery as she can be. And then I scream and yell and I'm about ready to slam her across the room. I don't like to feel this way. I don't know what to do with it.

1. RESPONSE:

Excerpt 11

HELPEE: He is ridiculous! Everything has to be done when he wants to do it. The way he wants it done. It's as if nobody else exists. It's everything he wants to do. There is a range of things I have to do. Not just be a housewife and take care of the kids. Oh no, I have to do his typing for him, errands for him. If I don't do it right away, I'm stupid—I'm not a good wife or something stupid like that. I have an identity of my own and I'm not going to have it wrapped up in him. It makes me—it infuriates me! I want to punch him right in the mouth. What am I going to do? Who does he think he is, anyway?

1. RESPONSE:

Excerpt 12

HELPEE: I'm really excited! We are going to California. I'm going to have a second lease on life. I found a marvelous job. It's great! It's so great, I can't believe it's true—it's so great! I have a secretarial job. I can be a mother and can have a part time job which I think I will enjoy very much. I can be home when the kids get home from school. It's too good to be true. It's so exciting. New horizons are unfolding. I just can't wait to get started. It's great!

1. RESPONSE:

Excerpt 13

HELPEE: I'm so thrilled to have found a counselor like you. I didn't know any existed. You seem to understand me so well. It's just great! I feel like I'm coming alive again. I have not felt like this in so long.

1. RESPONSE:

Excerpt 14

HELPEE: I don't know if I am right or wrong feeling the way I do. But I find myself withdrawing from people. I don't seem to socialize and play their stupid little games any more. I get upset and come home depressed and have headaches. It seems all so superficial. There was a time when I used to get along with everybody. Everybody said, "Isn't she wonderful. She gets along with everybody. Everybody likes her." I used to think that was something to be really proud of, but that was who I was at that time. I had no depth. I was what the crowd wanted me to be—the particular group I was with.

1. RESPONSE:

Excerpt 15

HELPEE: Gee, those people! Who do they think they are? I just can't stand interacting with them any more. Just a bunch of phonies. They leave me so frustrated. They make me so anxious, I get angry at myself. I don't even want to be bothered with them any more. I just wish I could be honest with them and tell them all to go to hell! But I guess I just can't do it.

1. RESPONSE:

Excerpt 16

HELPEE: Sometimes I question my adequacy of raising three boys, especially the baby. I call him the baby—well, he is the last. I can't have any more. So I know I kept him a baby longer than the others. He won't let anyone else do things for him. If someone else opens the door he says he wants Mommy to do it. If he closes the door, I have to open it. I encourage this. I do it. I don't know if this is right or wrong. He insists on sleeping with me every night and I allow it. And he says when he grows up he won't do it any more. Right now he is my baby and I don't discourage this much. I don't know if this comes out of my needs or if I'm making too much out of the situation or if this will handicap him when he goes to school—breaking away from Mamma. Is it going to be a traumatic experience for him? Is it something I'm creating for him? I do worry more about my children than I think most mothers do.

1. RESPONSE:

APPENDIX C

Carkhuff Discrimination of Helper Responses to Helpee Stimulus Expressions

Carkhuff Discrimination of Helper Responses to Helpee Stimulus Expressions

DIRECTIONS

The following excerpts involve a number of helpee stimulus expressions and in turn a number of helper responses. There are 16 expressions by helpees of problems, and in response to each expression there are four possible helper responses.

These helpees can be considered to be helpees in very early contacts. They may not be formal helpees. They may simply be people who sought the help of another person in a time of need. In this example the same helpee and the same helper are involved.

You may rate these excerpts keeping in mind that those helper responses which the helpee can employ most effectively are rated the highest.

The facilitator is a person who is living effectively himself and who discloses himself in a genuine and constructive fashion in response to others. He communicates an accurate empathic understanding and a respect for all of the feelings of other persons and guides discussions with those persons into specific feelings and experiences. He communicates confidence in what he is doing and is spontaneous and intense. In addition, while he is open and flexible in his relations with others, in his commitment to the welfare of the other person he is quite capable of active, assertive, and even confronting behavior when it is appropriate.

You will read a number of excerpts taken from therapy sessions. Rate each excerpt 1.0, 1.5, 2.0, 2.5, 3.0, 3.5, 4.0, 4.5, or 5.0, using the following continuum.

Assessing Discrimination

1.0	1.5	2.0	2.5	3.0	3.5	4.0	4.5	5.0
None of these conditions are communicated to any noticeable degree in the person.		Some of the conditions are communicated and some are not.		All of the conditions are communicated at a minimally facilitative level.		All of the conditions are communicated, and some are communicated fully.		All of the conditions are fully communicated simultaneously and continually.

Date _____

Excerpt 1

HELPEE: I love my children and my husband and I like doing most household things. They get boring at times but on the whole I think it can be a very rewarding thing at times. I don't miss working, going to the office every day. Most women complain of being just a housewife and just a mother. But, then, again, I wonder if there is more for me. Others say there has to be. I really don't know.

HELPER RESPONSES:

_____ (1) Hmm. Who are these other people?

_____ (2) So you find yourself raising a lot of questions about yourself—educationally, vocationally.

_____ (3) Why are you dominated by what others see for you? If you are comfortable and enjoy being a housewife, then continue in this job. The role of mother, homemaker can be a full-time, self-satisfying job.

_____ (4) While others raise these questions, these questions are real for you. You don't know if there is more out there for you. You don't know if you can find more fulfillment than you have.

Excerpt 2

HELPEE: I'm really excited the way things are going at home with my husband. It's just amazing! We get along great together now. Sexually, I didn't know we could be that happy. I didn't know anyone could be that happy. It's just marvelous! I'm just so pleased, I don't know what else to say.

HELPER RESPONSES:

_____ (1) It's a wonderful feeling when things are going well maritally.

_____ (2) It's really exciting to be alive again, to feel your body again, to be in love again.

_____ (3) Is your husband aware of these changes?

_____ (4) Now don't go overboard on this right now. There will be problems that lie ahead and during these periods that you have these problems I want you to remember well the bliss you experienced in this moment in time.

Excerpt 3

HELPEE: It's not an easy thing to talk about. I guess the heart of the problem is sort of a sexual problem. I never thought I would have this sort of problem. But I find myself not getting the fulfillment I used to. It's not as enjoyable—for my husband either, although we don't discuss it. I used to enjoy and look forward to making love. I used to have an orgasm but I don't anymore. I can't remember the last time I was satisfied. I find myself being attracted to other men and wondering what it would be like to go to bed with them. I don't know what this means. Is this symptomatic of our whole relationship as a marriage? Is something wrong with me or us?

HELPER RESPONSES:

_____ (1) Perhaps you feel your marriage and role of mother is holding you back and preventing you from being something else you want to be. Your resentment here against your husband is manifested in your frigidity. Perhaps it is your way of paying him back for keeping you down in this role, for confining you, for restricting you.

_____ (2) What about your relationship with your husband, his role as father and companion?

_____ (3) You don't quite know what to make of all this but you know something is dreadfully wrong and you are determined to find out for yourself, for your marriage.

_____ (4) What's happened between you and your husband has raised a lot of questions about you, about him, about your marriage.

Excerpt 4

HELPEE: Gee, I'm so disappointed. I thought we could get along together and you could help me. We don't seem to be getting anywhere. You don't understand me. You don't know I'm here. I don't even think you care for me. You don't hear me when I talk. You seem to be somewhere else. Your responses are independent of anything I have to say. I don't know where to turn. I'm just so—doggone it—I don't know what I'm going to do, but I know you can't help me. There just is no hope.

HELPER RESPONSES:

_____ (1) I have no reason to try and not to help you. I have every reason to want to help you.

_____ (2) Only when we establish mutual understanding and trust and only then can we proceed to work on your problem effectively.

_____ (3) It's disappointing and disillusioning to think you have made so little progress.

_____ (4) I feel badly that you feel that way. I do want to help. I'm wondering. "Is it me? Is it you, both of us?" Can we work something out?

Excerpt 5

HELPEE: I get so frustrated and furious with my daughter. I just don't know what to do with her. She is bright and sensitive, but damn, she has some characteristics that make me so on edge. I can't handle it sometimes. She just—I feel myself getting more and more angry! She won't do what you tell her to. She tests limits like mad. I scream and yell and lose control and think there is something wrong with me—I'm not an understanding mother or something. Damn! What potential! What she could do with what she has. There are times she doesn't use what she's got. She gets by too cheaply. I just don't know what to do with her. Then she can be so nice and then, boy, she can be as onery as she can be. And then I scream and yell and I'm about ready to slam her across the room. I don't like to feel this way. I don't know what to do with it.

HELPER RESPONSES:

_____ (1) So you find yourself screaming and yelling at your daughter more frequently during the past three months.

_____ (2) Why don't you try giving your daughter some very precise limitations. Tell her what you expect from her and what you don't expect from her. No excuses.

_____ (3) While she frustrates the hell out of you, what you are really asking is, "How can I help her? How can I help myself, particularly in relation to this kid?"

_____ (4) While she makes you very angry, you really care what happens to her.

Excerpt 6

HELPEE: Sometimes I question my adequacy of raising three boys, especially the baby. I call him the baby—well, he is the last. I can't have any more. So I know I kept him a baby longer than the others. He won't let anyone else do things for him. If someone else opens the door, he says he wants Mommy to do it. If he closes the door, I have to open it. I encourage this. I do it. I don't know if this is right or wrong. He insists on sleeping with me every night and I allow it. And he says when he grows up he won't do it any more. Right now he is my baby and I don't discourage this much. I don't know if this comes out of my needs or if I'm making too much out of the situation or if this will handicap him when he goes to school—breaking away from Mamma. Is it going to be a traumatic experience for him? Is it something I'm creating for him? I do worry more about my children than I think most mothers do.

HELPER RESPONSES:

_____ (1) So you find yourself raising a lot of questions as to if what you are doing is right for your child.

_____ (2) Is it perhaps possible for you to have the child become involved in a situation such as some experiences in a public park where the child could play and perhaps at a distance you could supervise—where the child can gain some independence?

_____ (3) Could you tell me—have you talked to your husband about this?

_____ (4) While you are raising a lot of questions for yourself about yourself in relation to your youngest child, you are raising some more basic questions about yourself in relation to you. In lots of ways you're not certain where you are going—not sure who you are.

Excerpt 7

HELPEE: I finally found somebody I can really get along with. There is no pretentiousness about them at all. They are real and they understand me. I can be myself with them. I don't have to worry about what I say and that they might take me wrong, because I do sometimes say things that don't come out the way I want them to. I don't have to worry that they are going to criticize me. They are just marvelous people! I just can't wait to be with them! For once I actually enjoy going out and interacting. I didn't think I could ever find people like this again. I can really be myself. It's such a wonderful feeling not to have people criticizing you for everything you say that doesn't agree with them. They are warm and understanding, and I just love them! It's just marvelous!

HELPER RESPONSES:

_____ (1) Sounds like you found someone who really matters to you.

_____ (2) Why do these kind of people accept you?

_____ (3) That's a real good feeling to have someone to trust and share with. "Finally, I can be myself."

_____ (4) Now that you have found these people who enjoy you and whom you enjoy, spend your time with these people. Forget about the other types who make you anxious. Spend your time with the people who can understand and be warm with you.

Excerpt 8

HELPEE: Who do you think you are? You call yourself a therapist! Damn, here I am spilling my guts out and all you do is look at the clock. You don't hear what I say. Your responses are not attuned to what I'm saying. I never heard of such therapy. You are supposed to be helping me. You are so wrapped up in your world you don't hear a thing I'm saying. You don't give me the time. The minute the hour is up you push me out the door whether I have something important to say or not. I—uh—it makes me so goddamn mad!

HELPER RESPONSES:

_____ (1) You are suggesting I'm wrapped up in myself. Do you think that perhaps, in fact, this is your problem?

_____ (2) I'm only trying to listen to you. Really, I think we are making a whole lot of progress here.

_____ (3) You are pretty displeased with what has been going on here.

_____ (4) All right, you are furious, but I wonder if it's all mine or is there something else eating you.

Excerpt 9

HELPEE: I'm so thrilled to have found a counselor like you. I didn't know any existed. You seem to understand me so well. It's just great! I feel like I'm coming alive again. I have not felt like this in so long.

HELPER RESPONSES:

_____ (1) Gratitude is a natural emotion.

_____ (2) This is quite nice but remember, unless extreme caution is exercised, you may find yourself moving in the other direction.

_____ (3) That's a good feeling.

_____ (4) Hey, I'm as thrilled to hear you talk this way as you are! I'm pleased that I have been helpful. I do think we still have some work to do yet, though.

Excerpt 10

HELPEE: Gee, those people! Who do they think they are? I just can't stand interacting with them anymore. Just a bunch of phonies. They leave me so frustrated. They make me so anxious. I get angry at myself. I don't even want to be bothered with them anymore. I just wish I could be honest with them and tell them all to go to hell! But I guess I just can't do it.

HELPER RESPONSES:

_____ (1) They really make you very angry. You wish you could handle them more effectively than you do.

_____ (2) Damn, they make you furious! But it's just not them. It's with yourself, too, because you don't act on how you feel.

_____ (3) Why do you feel these people are phony? What do they say to you?

_____ (4) Maybe society itself is at fault here—making you feel inadequate, giving you this negative view of yourself, leading you to be unable to successfully interact with others.

Excerpt 11

HELPEE: No response. (*Moving about in chair.*)

HELPER RESPONSES:

_____ (1) You can't really say all that you feel at this moment.

_____ (2) A penny for your thoughts.

_____ (3) Are you nervous? Maybe you haven't made the progress here we hoped for.

_____ (4) You just don't know what to say at this moment.

Excerpt 12

HELPEE: I don't know if I am right or wrong feeling the way I do. But I find myself withdrawing from people. I don't seem to socialize and play their stupid little games any more. I get upset and come home depressed and have headaches. It all seems so superficial. There was a time when I used to get along with everybody. Everybody said, "Isn't she wonderful. She gets along with everybody. Everybody likes her." I used to think that was something to be really proud of, but that was who I was at that time. I had no depth. I was what the crowd wanted me to be—the particular group I was with.

HELPER RESPONSES:

_____ (1) You know you have changed a lot. There are a lot of things you want to do but no longer can.

_____ (2) You are damned sure who you can't be any longer but you are not sure who you are. Still hesitant as to who you are yet.

_____ (3) Who are these people that make you so angry? Why don't you tell them where to get off! They can't control your existence. You have to be your own person.

_____ (4) So you have a social problem involving interpersonal difficulties with others.

HELPEE: He is ridiculous! Everything has to be done when he wants to do it, the way he wants it done. It's as if nobody else exists. It's everything he wants to do. There is a range of things I have to do—not just be a housewife and take care of the kids. Oh no, I have to do his typing for him, errands for him. If I don't do it right away, I'm stupid—I'm not a good wife or something stupid like that. I have an identity of my own, and I'm not going to have it wrapped up in him. It makes me—it infuriates me! I want to punch him right in the mouth. What am I going to do? Who does he think he is anyway?

HELPER RESPONSES:

_____ (1) It really angers you when you realize in how many ways he has taken advantage of you.

_____ (2) Tell me, what is your concept of a good marriage?

_____ (3) Your husband makes you feel inferior in your own eyes. You feel incompetent. In many ways you make him sound like a very cruel and destructive man.

_____ (4) It makes you furious when you think of the one-sidedness of this relationship. He imposes upon you everywhere, particularly in your own struggle for your own identity. And you don't know where this relationship is going.

Excerpt 14

HELPEE: I'm so pleased with the kids. They are doing just marvelously. They have done so well at school and at home; they get along together. It's amazing. I never thought they would. They seem a little older. They play together better and they enjoy each other, and I enjoy them. Life has become so much easier. It's really a joy to raise three boys. I didn't think it would be. I'm just so pleased and hopeful for the future. For them and for us. It's just great! I can't believe it. It's marvelous!

HELPER RESPONSES:

_____ (1) It's a good feeling to have your kids settled once again.

_____ (2) Is it possible your kids were happy before but you never noticed it before? You mentioned your boys. How about your husband? Is he happy?

_____ (3) Do you feel this is a permanent change?

_____ (4) Hey, that's great! Whatever the problem, and you know there will be problems, it's great to have experienced the positive side of it.

Excerpt 15

HELPEE: They wave that degree up like it's a pot of gold at the end of the rainbow. I used to think that, too, until I tried it. I'm happy being a housewife. I don't care to get a degree. But the people I associate with, the first thing they ask is, "Where did you get your degree?" I answer, "I don't have a degree." Christ, they look at you like you are some sort of a freak, some backwoodsman your husband picked up along the way. They actually believe that people with degrees are better. In fact, I think they are worse. I've found a lot of people without degrees that are a hell of a lot smarter than these people. They think that just because they have degrees they are something special. These poor kids that think they have to go to college or they are ruined. It seems that we are trying to perpetrate a fraud on these kids. If no degree, they think they will end up digging ditches the rest of their lives. They are looked down upon. That makes me sick.

HELPER RESPONSES:

_____ (1) You really resent having to meet the goals other people set for you.

_____ (2) What do you mean by "it makes me sick?"

_____ (3) Do you honestly feel a degree makes a person worse or better? And not having a degree makes you better? Do you realize society perpetrates many frauds and sets many prerequisites such as a degree. You must realize how doors are closed unless you have a degree, while the ditches are certainly open.

_____ (4) A lot of these expectations make you furious. Yet, they do tap in on something in yourself you are not sure of—something about yourself in relation to these other people.

Excerpt 16

HELPEE: I'm really excited! We are going to California. I'm going to have a second lease on life. I found a marvelous job! Its great! It's so great I can't believe it's true—it's so great! I have a secretarial job. I can be a mother and can have a part-time job which I think I will enjoy very much. I can be home when the kids get home from school. It's too good to be true. It's so exciting. New horizons are unfolding. I just can't wait to get started. It's great!

HELPER RESPONSES:

_____ (1) Don't you think you are biting off a little bit more than you can chew? Don't you think that working and taking care of the children will be a little bit too much? How does your husband feel about this?

_____ (2) Hey, that's a mighty good feeling. You are on your way now. Even though there are some things you don't know along the way, it's just exciting to be gone.

_____ (3) Let me caution you to be cautious in your judgment. Don't be too hasty. Try to get settled first.

_____ (4) It's a good feeling to contemplate doing these things.

APPENDIX D

FACULTY OF EDUCATION
DEPARTMENT OF EDUCATIONAL PSYCHOLOGY

THE UNIVERSITY OF ALBERTA
EDMONTON 7, CANADA

May 28, 1971

Dear

As you are a professional social worker in the province of Alberta, I wish to ask for your participation for about one hour in a study which I am conducting for completion of my doctoral dissertation at the University of Alberta. My study will be part of a more comprehensive study which was requested by the Alberta Colleges Commission to examine needs in the province and type of personnel that will be required in the Social Science areas within the next few years.

At this point we are excited and pleased with the help we have been getting from professional people right across the province. The Department of Social Development has asked its professional personnel to cooperate with us wherever possible. Dr. F.H.Tyler, Director of the School of Social Welfare in Calgary has taken some of his valuable time to help us get this project 'off the ground'. A recent letter to my supervisor from Dr. Tyler read in part as follows: "I wish to assure you of our interest in working with your research team in the initial project and in the development and with the follow-up studies.

The study requires a sample of the kinds of responses that you would provide to client situations typically encountered in your daily work. More specifically this involves your giving short responses to sixteen actual client situations. Although I fully recognize the nature of your position does not usually allow time for participation in research studies, I would very much appreciate your involvement in view of the fact that you are trained and experienced in the field of social work. We hope that our studies will provide data for further research in this province and therefore seems extremely important to us that we involve trained and competent individuals like yourself.

If you would like more information about this study or feel you cannot participate, I would appreciate hearing from you. I

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can be reached at my office, 'phone 432-5387. I am fortunate to have a colleague, Brian Johnson, MSW, as a member of our team and he has agreed to assist me in clarifying questions and concerns of professionals if that may arise during the course of the study. Brian's 'phone number is 432-5864.

If I do not hear from you may I take the liberty of contacting you personally by 'phone probably before the end of June, in order to set up a time and place to meet you as outlined above. Please be assured that at the outset that I will honor all requests for feedback information and I plan to send out abstracts of my study to all participants and interested personnel. Could I also assure you at this time that all precaution will be taken to ensure that complete anonymity of respondents is guaranteed.

Thank you very much for your anticipated cooperation and I will look forward to meeting you in the very near future.

Yours very sincerely,

Marv Westwood
Psychologist
Ph.D. Candidate

MW/mmc

APPENDIX E

Basic Training Scales

SCALE 1
EMPATHIC UNDERSTANDING IN INTERPERSONAL PROCESSES: A SCALE FOR MEASUREMENT[1]

Level 1

The verbal and behavioral expressions of the first person either *do not attend to* or *detract significantly* from the verbal and behavioral expressions of the second person(s) in that they communicate significantly less of the second person's feelings than the second person has communicated himself.

EXAMPLES: The first person communicates no awareness of even the most obvious, expressed surface feelings of the second person. The first person may be bored or uninterested or simply operating from a preconceived frame of reference which totally excludes that of the other person(s).

In summary, the first person does everything but express that he is listening, understanding, or being sensitive to even the feelings of the other person in such a way as to detract significantly from the communications of the second person.

Level 2

While the first person responds to the expressed feelings of the second person(s), he does so in such a way that he *subtracts noticeable affect from the communications* of the second person.

EXAMPLES: The first person may communicate some awareness of obvious surface feelings of the second person, but his communications drain off a level of the affect and distort the level of meaning. The first person may communicate his own ideas of what may be going on, but these are not congruent with the expressions of the second person.

In summary, the first person tends to respond to other than what the second person is expressing or indicating.

Level 3

The expressions of the first person in response to the expressed feelings of the second person(s) are essentially *interchangeable* with those of the second person in that they express essentially the same affect and meaning.

EXAMPLE: The first person responds with accurate understanding of the surface feelings of the second person but may not respond to or may misinterpret the deeper feelings.

In summary, the first person is responding so as to neither subtract from nor add to the expressions of the second person; but he does not respond accurately to how that person really feels beneath the surface feelings. **Level 3** constitutes the minimal level of facilitative interpersonal functioning.

Level 4

The responses of the first person add noticeably to the expressions of the second person(s) in such a way as to express feelings a level deeper than the second person was able to express himself.

EXAMPLE: The facilitator communicates his understanding of the expressions of the second person at a level deeper than they were expressed, and thus enables the second person to experience and/or express feelings he was unable to express previously.

In summary, the facilitator's responses add deeper feeling and meaning to the expressions of the second person.

Level 5

The first person's responses add significantly to the feeling and meaning of the expressions of the second person(s) in such a way as to (1) accurately express feelings levels below what the person himself was able to express or (2) in the event of on going deep self-exploration on the second person's part, to be fully with him in his deepest moments.

EXAMPLES: The facilitator responds with accuracy to all of the person's deeper as well as surface feelings. He is "together" with the second person or "tuned in" on his wave length. The facilitator and the other person might proceed together to explore previously unexplored areas of human existence.

In summary, the facilitator is responding with a full awareness of who the other person is and a comprehensive and accurate empathic understanding of his deepest feelings.

SCALE 2
THE COMMUNICATION OF RESPECT IN INTERPERSONAL PROCESS: A SCALE FOR MEASUREMENT[3]

Level 1

The verbal and behavioral expressions of the first person communicate a clear lack of respect (or negative regard) for the second person(s).

EXAMPLE: The first person communicates to the second person that the second person's feelings and experiences are not worthy of consideration or that the second person is not capable of acting constructively. The first person may become the sole focus of evaluation.

In summary, in many ways the first person communicates a total lack of respect for the feelings, experiences, and potentials of the second person.

Level 2

The first person responds to the second person in such a way as to communicate little respect for the feelings, experiences, and potentials of the second person.

EXAMPLE: The first person may respond mechanically or passively or ignore many of the feelings of the second person.

In summary, in many ways the first person displays a lack of respect or concern for the second person's feelings, experiences, and potentials.

Level 3

The first person communicates a positive respect and concern for the second person's feelings, experiences, and potentials.

EXAMPLE: The first person communicates respect and concern for the second person's ability to express himself and to deal constructively with his life situation.

In summary, in many ways the first person communicates that who the second person is and what he does matter to the first person. Level 3 constitutes the minimal level of facilitative interpersonal functioning.

Level 4

The facilitator clearly communicates a very deep respect and concern for the second person.

EXAMPLE: The facilitator's responses enables the second person to feel free to be himself and to experience being valued as an individual.

In summary, the facilitator communicates a very deep caring for the feelings, experiences, and potentials of the second person.

Level 5

The facilitator communicates the very deepest respect for the second person's worth as a person and his potentials as a free individual.

EXAMPLE: The facilitator cares very deeply for the human potentials of the second person.

In summary, the facilitator is committed to the value of the other person as a human being.

SCALE 3
FACILITATIVE GENUINENESS IN INTERPERSONAL PROCESSES: A SCALE FOR MEASUREMENT[3]

Level 1

The first person's verbalizations are clearly unrelated to what he is feeling at the moment, or his only genuine responses are negative in regard to the second person(s) and appear to have a totally destructive effect upon the second person.

EXAMPLE: The first person may be defensive in his interaction with the second person(s) and this defensiveness may be demonstrated in the content of his words or his voice quality. Where he is defensive he does not employ his reaction as a basis for potentially valuable inquiry into the relationship.

In summary, there is evidence of a considerable discrepancy between the inner experiencing of the first person(s) and his current verbalizations. Where there is no discrepancy, the first person's reactions are employed solely in a destructive fashion.

Level 2

The first person's verbalizations are slightly unrelated to what he is feeling at the moment, or when his responses are genuine they are negative in regard to the second person; the first person does not appear to know how to employ his negative reactions constructively as a basis for inquiry into the relationship.

EXAMPLE: The first person may respond to the second person(s) in a "professional" manner that has a rehearsed quality or a quality concerning the way a helper "should" respond in that situation.

In summary, the first person is usually responding according to his prescribed role rather than expressing what he personally feels or means. When he is genuine his responses are negative and he is unable to employ them as a basis for further inquiry.

Level 3

The first person provides no "negative" cues between what he says and what he feels, but he provides no positive cues to indicate a really genuine response to the second person(s).

EXAMPLE: The first person may listen and follow the second person(s) but commits nothing more of himself.

In summary, the first person appears to make appropriate responses that do not seem insincere but that do not reflect any real involvement either. Level 3 constitutes the minimal level of facilitative interpersonal functioning.

Level 4

The facilitator presents some positive cues indicating a genuine response (whether positive or negative) in a nondestructive manner to the second person(s).

EXAMPLE: The facilitator's expressions are congruent with his feelings, although he may be somewhat hesitant about expressing them fully.

In summary, the facilitator responds with many of his own feelings, and there is no doubt as to whether he really means what he says. He is able to employ his responses, whatever their emotional content, as a basis for further inquiry into the relationship.

Level 5

The facilitator is freely and deeply himself in a nonexploitative relationship with the second person(s).

EXAMPLE: The facilitator is completely spontaneous in his interaction and open to experiences of all types, both pleasant and hurtful. In the event of hurtful responses the facilitator's comments are employed constructively to open a further area of inquiry for both the facilitator and the second person.

In summary, the facilitator is clearly being himself and yet employing his own genuine responses constructively.

SCALE 4
FACILITATIVE SELF-DISCLOSURE IN INTERPERSONAL PROCESSES: SCALE FOR MEASUREMENT[4]

Level 1

The first person actively attempts to remain detached from the second person(s) and discloses nothing about his own feelings or personality to the second person(s), or if he does disclose himself, he does so in a way that is not tuned to the second person's general progress.

EXAMPLE: The first person may attempt, whether awkwardly or skillfully, to divert the second person's attention from focusing upon personal questions concerning the first person, or his self-disclosures may be ego shattering for the second person(s) and may ultimately cause him to lose faith in the first person.

In summary, the first person actively attempts to remain ambiguous and an unknown quantity to the second person(s), or if he is self-disclosing, he does so solely out of his own needs and is oblivious to the needs of the second person(s).

Level 2

The first person, while not always appearing actively to avoid self-disclosures, never volunteers personal information about himself.

EXAMPLE: The first person may respond briefly to direct questions from the client about himself; however, he does so hesitantly and never provides more information about himself than the second person(s) specifically requests.

In summary, the second person(s) either does not ask about the personality of the first person, or, if he does, the barest minimum of brief, vague, and superficial responses are offered by the first person.

Level 3

The first person volunteers personal information about himself which may be in keeping with the second person's interests, but this information is often vague and indicates little about the unique character of the first person.

EXAMPLE: While the first person volunteers personal information and never gives the impression that he does not wish to disclose more about himself, nevertheless, the content of his verbalizations is generally centered upon his reactions to the second person(s) and his ideas concerning their interaction.

In summary, the first person may introduce more abstract, personal ideas in accord with the second person's interests, but these ideas do not stamp him as a unique person. Level 3 constitutes the minimum level of facilitative interpersonal functioning.

Level 4

The facilitator freely volunteers information about his personal ideas, attitudes, and experiences in accord with the second person's interests and concerns.

EXAMPLE: The facilitator may discuss personal ideas in both depth and detail, and his expressions reveal him to be a unique individual.

In summary, the facilitator is free and spontaneous in volunteering personal information about himself, and in so doing may reveal in a constructive fashion quite intimate material about his own feelings, and beliefs.

Level 5

The facilitator volunteers very intimate and often detailed material about his own personality, and in keeping with the second person's needs may express information that might be extremely embarrassing under different circumstances or if revealed by the second person to an outsider.

EXAMPLE: The facilitator gives the impression of holding nothing back and of disclosing his feelings and ideas fully and completely to the second person(s). If some of his feelings are negative concerning the second person(s), the facilitator employs them constructively as a basis for an open-ended inquiry.

In summary, the facilitator is operating in a constructive fashion at the most intimate levels of self disclosure

SCALE 5
PERSONALLY RELEVANT CONCRETENESS OR SPECIFICITY OF EXPRESSION IN INTERPERSONAL PROCESSES: A SCALE FOR MEASUREMENT [6]

Level 1

The first person leads or allows all discussion with the second person(s) to deal only with vague and anonymous generalities.

EXAMPLE: The first person and the second person discuss everything on strictly an abstract and highly intellectual level.

In summary, the first person makes no attempt to lead the discussion into the realm of personally relevant specific situations and feelings.

Level 2

The first person frequently leads or allows even discussions of material personally relevant to the second person(s) to be dealt with on a vague and abstract level.

EXAMPLE: The first person and the second person may discuss the "real" feelings but they do so at an abstract, intellectualized level.

In summary, the first person does not elicit discussion of most personally revelant feelings and experiences in specific and concrete terms.

Level 3

The first person at times enables the second person(s) to discuss personally relevant material in specific and concrete terminology.

EXAMPLE: The first person will make it possible for the discussion with the second person(s) to center directly around most things that are personally important to the second person(s), although there will continue to be areas not dealt with concretely and areas in which the second person does not develop fully in specificity.

In summary, the first person sometimes guides the discussions into consideration of personally relevant specific and concrete instances, but these are not always fully developed. Level 3 constitutes the minimal level of facilitative functioning.

Level 4

The facilitator is frequently helpful in enabling the second person(s) to fully develop in concrete and specific terms almost all instances of concern.

EXAMPLE: The facilitator is able on many occasions to guide the discussion to specific feelings and experiences of personally meaningful material.

In summary, the facilitator is very helpful in enabling the discussion to center around specific and concrete instances of most important and personally relevant feelings and experiences.

Level 5

The facilitator is always helpful in guiding the discussion, so that the second person(s) may discuss fluently, directly, and completely specific feelings and experiences.

EXAMPLE: The first person involves the second person in discussion of specific feelings, situations, and events, regardless of their emotional content.

In summary, the facilitator facilitates a direct expression of all personally relevant feelings and experiences in concrete and specific terms.

CARKHUFF COUNSELLOR TRAINING SCALES

Counsellor Characteristics	LEVEL 1	LEVEL 2	LEVEL 3	LEVEL 4	LEVEL 5
Accurate Empathy	ignores, even detracts	responds but subtracts affect, distorts meaning	usually accurate; almost literal duplication	accurate and adds deeper meaning than was expressed	accurate to all deeper feelings, "tuned in"
Respect, Warmth Regard	total lack of respect for feelings, experience & potentials	displays little warmth, mechanical or passive or ignores	communicates a positive respect and that the helpee matters to counsellor	a very deep caring for the helpee	deepest respect for helpee as a person
Genuineness, Congruence	discrepancy between inner experience & potentials	professional (role) manner that sounds rehearsed or genuine negative responses	sincere but not really involved; no negative cues between feelings and words but no positive cues either	genuine responses (positive or negative) in a non-destructive manner	freely and deeply himself; constructive even if responses "hurtful"
Self-Disclosure	actively attempts to remain ambiguous or unknown	briefest and vague self-disclosures	gives personal ideas, feelings but does not disclose his uniqueness	gives personal attitudes, ideas, and experience in accordance with helpee's concerns	reveals self and discloses at most intimate level in keeping with helpee's needs
Concreteness, Specificity	leads or allows helpee to deal only with vague generalities	leads or allows helpee to deal with even personally relevant material in a vague manner	sometimes guides personally relevant and concrete instances but not fully developed	guides discussion to specifics in almost all instances	always involves helpee in specific feelings and events regardless of emotional content
Confrontation	ignores all discrepancies in helpee's behavior	though not explicity accepting discrepancies remains silent re most of them	raises questions but does not point out diverging directions	confronts directly and explicitly	confronts all discrepancies sensitively and perceptively
Immediacy	ignores all helpee communications that deal with the relationship	disregards most talk about the relationship	makes literal response - open to interpretation of immediacy but not explicit	relates helpee's responses to himself in a tentative way	relates helpee's expressions directly and specifically to himself